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ABSTRACT

This study reports on the administration of the Emergency School Aid Act (ESAA) Basic and Pilot programs in New Jersey and New York. An overview of the Act and the criteria that desegregating schools in the region must meet in order to qualify for ESAA funds is provided. Findings regarding program operations, including application preparation, grant competition, project monitoring and technical assistance, are presented. These findings are based upon assessments of: (1) how ESAA program operations affected the decision to apply for a Basic or Pilot grant and the content and dollar value of the proposed projects; (2) how program operations affected the selection of grantees, the content and dollar value of the funded projects, and the timing of the grant award; and (3) limitations of the procedures used to monitor and to provide technical assistance to the projects. Appended are data on minority pupil compositions of districts that applied for a Basic or Pilot grant in Region II and on desegregation-related district characteristics. Data sources are also listed. (Author/EB)

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**THE ESAA BASIC AND PILOT PROGRAMS
IN REGION II:
VOLUME I—ADMINISTRATION**

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and Babette Gutmann

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
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EXECUTIVE SUMMARY

This study reports on the administration of the ESAA Basic and Pilot programs in Region II (New Jersey and New York). The report covers the FY 77 grant competition and the implementation of the FY 76 funded projects.

The report presents findings of a study of ESAA program operations including application preparation, the grant competition, and project monitoring and technical assistance. These findings should be interpreted cautiously as they are based on a study of only one region, Region II. This study was completed before passage of the Education Amendments of 1978 (P.L. 95-561) which made significant changes to the ESAA Basic program and eliminated the Pilot program. Additionally, the Region II experience may not be typical of ESAA program operations in the nine other DHEW regions and may not be representative of the outcomes of the centrally administered ESAA program now in operation.

The Grant Competition (Chapter 2)

The Act and regulations place no special priority on the type or recency of desegregation plans nor do they limit the number of years following plan implementation for which a district may receive a grant. In Region II, few applicant districts evidenced desegregation related needs. For example:

- one-half of the districts applying for Basic or Pilot grants did not show any evidence of reduction in minority isolation as measured by the ESAA program criteria; and
- one-half of the districts applying for and receiving ESAA funds had plans that had been in place a decade or more.

In Region II, however, there was also no evidence that districts with desegregation related needs failed to apply. On the other hand, the neediest districts were not always funded.

Region II districts with large minority enrollments and those that had received a Basic or Pilot grant in past years, applied for Basic or Pilot grants at higher rates

than those with small minority enrollments or less prior experience with the ESAA program. Once districts applied, minority enrollment and prior experience with the Basic and Pilot programs were unrelated to whether a district received a Basic or Pilot grant.

In Region II, ESAA program officers believed that ESAA administrative guidelines prohibited program officers from soliciting applications or providing technical assistance unless requested by district staff. However, since few Region II districts were desegregating, there was little evidence that needy districts failed to apply because they did not receive technical assistance. The ESAA program could increase the likelihood that first-time and newly desegregating applicants receive a quality score in the fundable range by targeting technical assistance on such applicants. By encouraging districts to carefully review desegregation related needs, ESAA program officers might encourage district staff to select project components and activities related to the objectives of the Act.

Applicants found to be out of compliance with FSAA civil rights requirements made the necessary changes to receive a waiver of ineligibility.

The OCR eligibility review has not always prevented districts with ineligible desegregation plans from receiving a Basic or Pilot grant in Region II.

The ESAA application review criteria assign a higher number of points to statistical criteria measuring district need than to quality criteria measuring the merit of the project. In both the Basic and Pilot program, the score an application received on the statistical criteria determined the within state ranking of the application. In the Pilot program, the magnitude of the statistical score determined which of the applicants that met ESAA plan and civil rights compliance criteria were funded. In the Basic program, however, the effect of the statistical score on the within state ranking of the application had little if any practical significance. All Basic applicants in Region II were funded (regardless of the magnitude of their statistical score) if the district met the ESAA plan and civil rights compliance criteria and the application achieved a quality score in the fundable range.

The Act and regulations place no priority on project components and activities related to desegregation related needs. In Region II, 80 percent of the funded Basic projects and all of the funded Pilot projects included compensatory components.

The review panels awarded the highest scores to Basic projects proposing the implementation of magnet schools. These projects proposed unrealistic objectives given their predominately minority pupil enrollment and the 1-year duration of the grant.

The administrative budget review is the only ESAA administrative procedure that ESAA program officers may use to directly influence the content and dollar value of the funded projects. In Region II, nearly all of the reductions in Basic or Pilot project budgets were the result of the administrative budget review.

Despite the large reduction in project budgets resulting from the administrative budget review, the grants awarded to most Region II districts were very large given the nature and extent of desegregation. Although the reduction in project budgets reduced the number of schools or pupils served by the project, it had little effect on the number or nature of the project components.

The Act and regulations do not require that the grant competition be completed before the end of each fiscal year. However, districts which received ESAA funding late in the summer or after the school year had begun frequently experienced implementation problems. OCR review and GPM grant preparation caused delays in the official release of grant funds in FY 77. No FY 77 Basic or Pilot award in Region II was officially released until August; 60 percent of the FY 77 grants were officially released in September.

Project Monitoring and Technical Assistance (Chapter 3)

Monitoring was made difficult by the absence of reliable information which described the funded project, and by discontinuity in monitoring personnel.

Monitoring had no systematic procedures for identifying districts likely to have compliance or implementation problems.

The effect of monitoring was blunted by the program's inability or reluctance to enforce sanctions within the 1-year period of the grant.

Technical assistance was generally confined to ESAA program administrative procedures and did not provide districts with solutions to project implementation or effectiveness problems.

CHAPTER 1. INTRODUCTION

Background

The Emergency School Aid Act (ESAA)¹ provides 1 year grants to school districts for any of three purposes:

1. to help meet special needs resulting from the implementation of a desegregation plan;
2. to encourage voluntary actions intended to reduce, eliminate or prevent minority group isolation; and
3. to aid children in overcoming the educational disadvantages of minority group isolation.

The ESAA Basic program provides funds to school districts for projects to meet the first two objectives of the Act. The ESAA Pilot program provides funds to school districts for projects to meet the third objective of the Act.

Three offices of DHEW, the Office of Equal Educational Opportunity Programs (EEOP), the Grant and Procurement Management Division (GPM) and the DHEW, Office for Civil Rights (OCR), participate in the administration of the ESAA Basic and Pilot programs. During most of the time period covered by this study, September, 1976 to December, 1977, authority for program decisions was held by Central office (i.e. Washington, D.C.) staff. However, day-to-day administration of the program was carried out by staff in the ten DHEW Regional offices. In the summer of 1977, a reorganization was announced that transferred all administration of ESAA to the Central office.

This is the first volume of Applied Urbanetics, Inc.'s (AUI) two volume study of the implementation and impact of ESAA Basic and Pilot programs in DHEW, Region II (New Jersey and New York). The study was jointly sponsored by the Planning and Evaluation Unit of the Regional Director, now the Assessment Unit of the Principal Regional Official, DHEW and the Office of Planning, Budgeting and Evaluation in the United States Office of Education (USOE).

When this study was contracted, its primary audience was to be the Commissioner of Region II, USOE, his staff, and Federal program officers in the ESAA Regional office. After the reorganization of DHEW was announced in the summer of 1977, the audience for the study was expanded to include Central DHEW and USOE officials who must review the effectiveness of ESAA administration in light of centralization.

ESAA Basic and Pilot Program Operations

The Emergency School Aid Act, the regulations and administrative procedures define the rules of the annual grant competition, the process used to select grantees, and the terms and conditions of the grant contract.

Rules of Grant Competition

Eligibility

Districts receiving ESAA Basic and Pilot grants must have an eligible desegregation plan and meet other civil rights compliance standards. Only districts with minority enrollment greater than 15,000 or 50 percent of the total enrollment are eligible to receive Pilot grants.

Authorized Objectives, Activities, and Allowable Costs

Projects funded by ESAA must be designed to achieve one or more of the three legislative objectives using the 12 activities authorized by the Act. Project costs must be allowable under the Act and regulations.

Between-State Funds Allocation²

Districts compete for available funds within state and program categories. Program funds are allocated among states by a formula that measures the relative number of minority children.

The Grantee Selection Process

Application Scoring

Applications are scored on the basis of need and quality. Need is measured by a statistical score measuring the size of the minority enrollment and the effective net reduction in minority isolation after the implementation of the desegregation plan. The quality score, rated by a non-Federal panel, measures the appropriateness and adequacy of the project to meet program objectives. Each application receives a total score which is the sum of the statistical and quality scores.

Within-State Allocation

Applicants are ranked by total score and funded in the first cycle in rank order until two-thirds of the state allocation in each program category is exhausted. The remainder of the state allocation is awarded after the resubmit cycle.

Resubmit Cycle

Districts which do not achieve sufficient scores to be funded on the first cycle may revise and resubmit their application in light of panel comments. Again, the applications are funded in rank order until the remaining program funds are exhausted.

Grant Terms and Conditions

Once a grant is made, the terms and conditions of the grant contract require that the district maintain compliance with their desegregation plan and ESAA civil rights requirements, carry out the scope of work described in the grant award and comply with ESAA reporting requirements.

Program Administration

The administration of ESAA is shared by three offices, the Office of Equal Educational Opportunity Programs (EEOP) and the Grant and Procurement Management Division

(GPM), both in USOE, and the Office for Civil Rights (OCR) in DHEW. These Federal program officers interpret, apply, and enforce the requirements of the program through their performance of four tasks:

- Information dissemination and pre-award technical assistance - the process of notifying potential applicants of the timing and rules of the grant competition and assisting individual applicants in preparing a Basic or Pilot application;
- Application review - the process of reviewing applicant eligibility for a Basic or Pilot award, administering the grant competition, reviewing proposed projects to eliminate excessive costs or unauthorized activities and preparing the grant award;
- Project monitoring - the process of reviewing the compliance of funded projects with the programmatic, administrative, fiscal and civil rights terms and conditions of the grant award; and
- Post-award technical assistance - the process of providing information to assist districts in implementing their funded project or in fulfilling the terms and conditions of the grant award.

ESAA program officers perform all four tasks. OCR program officers perform the review of district threshold (plan) eligibility and compliance with ESAA civil rights eligibility standards. GPM staff participate in the review of project budgets and prepare the grant award document. OCR and GPM may also participate in monitoring district compliance with the terms and conditions of the grant award..

Purpose

This report was designed to provide ESAA program officers with a description of ESAA administration in one DHEW region in FY 77. Three types of information are provided:

- an assessment of how ESAA program operations affected the decision to apply for a Basic or Pilot grant and the content and dollar value of the proposed projects;
- an assessment of how ESAA program operations affected the selection of grantees, the content and dollar value of the funded projects, and the timing of the grant award; and
- an assessment of the limitations of the procedures used to monitor projects and to provide technical assistance to the projects.

The findings of this study should be interpreted cautiously as they were based on only one region, Region II. The study was completed before passage of the Education Amendments of 1978 (P.L. 95-561) which made significant changes to the ESAA Basic program and eliminated the Pilot program. Additionally, the Region II experience may not have been typical of ESAA program operations in the nine other DHEW regions and may not have been representative of the outcomes of the centrally administered ESAA program now in operation.

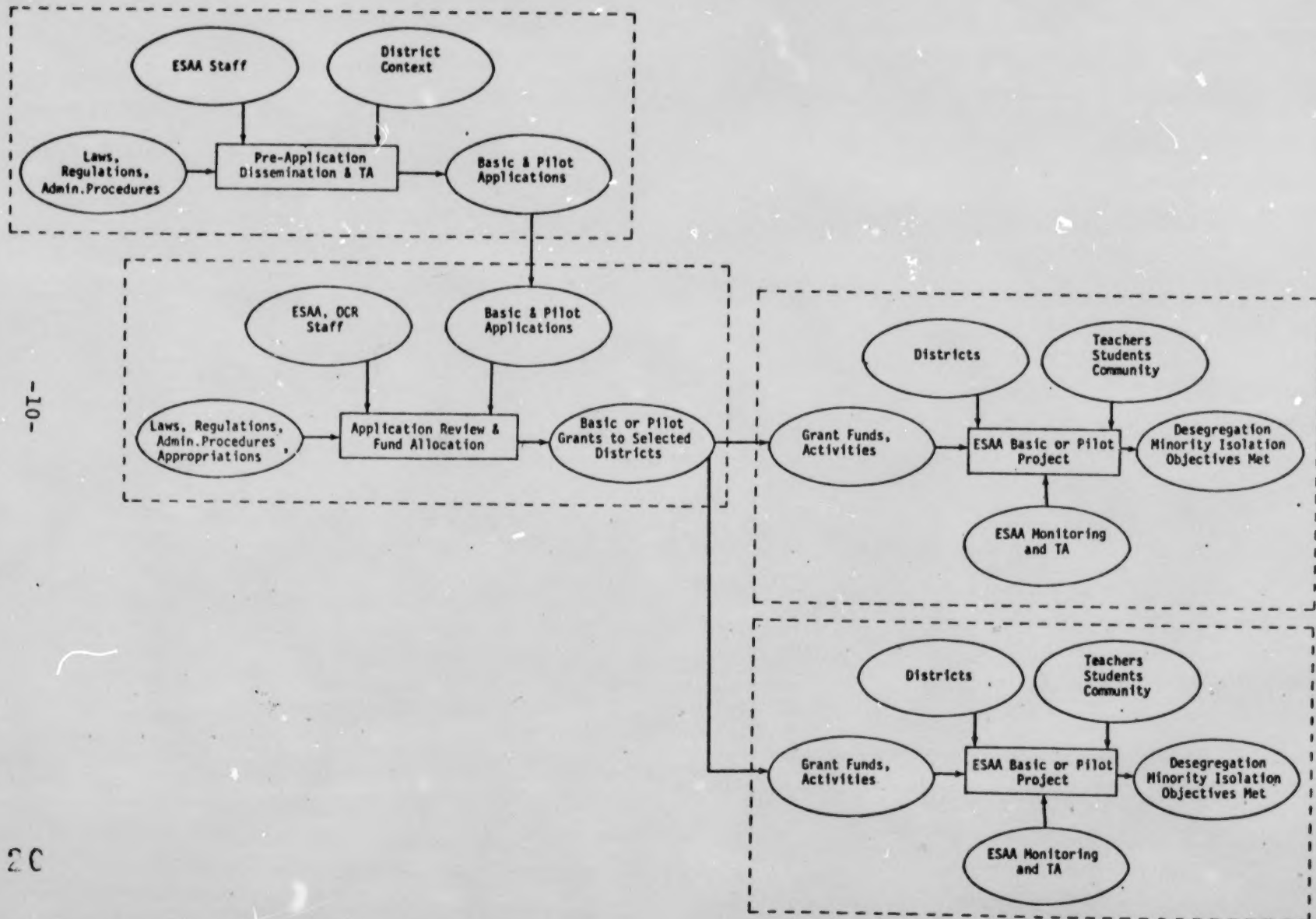
The Study Design

This study was based on the model of ESAA Basic and Pilot program operations displayed in Figure 1.1. The model includes four types of factors:

1. Input factors - the Act, regulations and administrative procedures and the staff and dollar resources allocated for program administration and for distribution as Basic or Pilot grant awards;
2. Context factors - the characteristics of the district which are not subject to control by Federal policy but may have an impact on the outcome of Basic and Pilot program operations, such as the racial/ethnic composition of pupils and staff, the desegregation experience, and past experience with the ESAA program;
3. Process factors - the way in which the four ESAA program administrative tasks are carried out; and

FIGURE 1.1

MODEL OF ESAA PROGRAM OPERATIONS



4. Outcome factors - the results of ESAA program administration including the characteristics of districts that apply for and receive ESAA Basic or Pilot program awards, the content and dollar value of the application and of the grant award, and the outcome of projects funded by the Basic or Pilot program.

The analysis plan for this study evolved as the investigators gained understanding of the program and of available data. The major focus of the study, as originally designed, was a comparison of the relative impact of the input (Federal) and context (district) factors on the processes used to administer the ESAA Basic and Pilot programs and on the outcomes of the programs. The original design was retained for the section of this report concerning application preparation and the grant competition. However, this design was not feasible for the section of the report assessing project monitoring and post-award technical assistance for two reasons. First, this type of information was available only from the eight projects which were the subject of case studies for this study. Second, the case studies found little evidence that project monitoring and post-award technical assistance had an impact on the funded projects. The section of the report concerning ESAA program operations after the awards were made, therefore, describes the limitations of the procedures used to monitor and to provide technical assistance to ESAA Basic and Pilot projects.

Data Collection³

The data for this study were collected from four sources:

1. Federal and state archive files;
2. ESAA program records;
3. Interviews with Washington and Regional office staff of EEOP, GPM, and OCR and non-Federal review panel members; and
4. Interviews with district staff and ESAA Advisory Committee members.

Federal and State Archive Files

Federal and state archive files were the primary source of data describing district demographic characteristics. Federal archive files supplied data describing the racial/ethnic composition of schools and districts in 1962 and 1972, the metropolitan status of districts (e.g., rural, suburban, center city) and the concentration of economically disadvantaged children. State archive files provided data describing the racial/ethnic composition of schools and districts in 1973 and 1975 and the concentration of educationally disadvantaged children.

ESAA Program Records

The term ESAA program records was used to denote the documents accumulated by the Regional EEOP staff while administering the ESAA program. The documents included each district's application, the forms used to record and calculate scores assigned during the application review process, approved project budgets, progress reports filed by funded projects, site visit reports, and other letters and memos compiled or collected by ESAA program officers in the course of administering the Basic and Pilot programs. These records provided data describing the racial/ethnic composition of pupils and staff in 1976 and 1977 and the outcomes of the application review process.

Interviews with Washington and Regional Office Staff and Non- Federal Review Panel Members

The Washington office interviews included the senior ESAA and OCR program officers. The interviews with Regional office staff included all EEO, GPM, and OCR staff and nine of the persons who served as non-Federal review panel members in the FY 77 application review process. These interviews were the major source of information describing the procedures used to administer the ESAA Basic and Pilot programs.

Interviews with District Staff and Advisory Committee Members

Three sets of interviews were held with district staff or Advisory Committee members: (1) telephone interviews with staff of districts that did not apply for a Basic or Pilot grant in FY 77; (2) telephone interviews with staff of districts that applied for but did not receive a Basic

or Pilot grant in FY 77; and (3) on-site interviews with district staff and Advisory Committee members of eight projects funded in FY 76.

The first set of interviews was intended to provide insight into why districts did not apply for a Basic or Pilot grant in FY 77. Topics of the interviews included district staff's perceptions of ESAA, contact with Federal officials administering the ESAA program, and reasons for not applying for a Basic or Pilot grant in FY 77. The second set of interviews was intended to provide insight into district staff's perceptions of the reasons their Basic or Pilot application was not funded in FY 77. The subjects of these interviews included staff's perceptions of ESAA, interactions with Federal program officers during the application preparation and review process, and staff's perceptions of why their application was not funded.

The third set of interviews took place during site visits to eight case study projects located in seven districts. Two site visits were made to each case study district by teams of two or three staff members. The first 1-day site visit was made in the late fall when the project was expected to be fully implemented. In this site visit, formal interviews were held with the district superintendent, the writer of the ESAA application, the person responsible for in-service training of professional staff of the ESAA project, and a community member, usually the chairperson of the ESAA Advisory Committee. The subjects of the first interviews were the preparation of the application for FY 76 funding, the awards process for FY 76, project implementation and any problems encountered in the FY 76 projects, the nature of desegregation related needs in the district, and impressions of the Federal administration of the ESAA program.

The second 2-day site visit was made in the late spring. This visit occurred after the districts had submitted applications for FY 77 funding and as they were completing the FY 76 project. During this visit, formal interviews were held with the same respondents to gain further information on the topics discussed in the first interview and to learn district staff's impressions of the effectiveness of their project in meeting local project objectives and national program goals. These respondents also were asked to complete a mail-in questionnaire which would supply additional information about other Federally or state funded projects in the district and other district needs. The site visit staff also visited at least two ESAA project school sites and held informal

conversations with ESAA funded staff to determine their impressions of needs arising from desegregation or minority isolation and the ability and effectiveness of the project in meeting those needs.

Report Structure

The remainder of this report is divided into two chapters. Chapter 2 assesses the impact of ESAA program operations on the selection of grantees, the content and dollar value of the funded projects, and the timing of the grant award. Chapter 3 describes the limitations of ESAA project monitoring and post-award technical assistance procedures. An executive summary, published separately,⁴ presents the conclusions and recommendations of this study.

FOOTNOTES

- 1 P.L. 92-318, Sec. 702(b) as amended in P.L. 93-380, Sec. 641.
- 2 ESAA Basic and Pilot program dollars are apportioned among the 50 states and the District of Columbia. The excess funds in states in which apportionments exceed requests are redistributed to states in which requests exceed available funds.
- 3 Two attempts were made to find measures of project effectiveness that would be comparable across projects. Both attempts provided inconclusive data. The first measure was given as a self-evaluation to district ESAA personnel who were asked to choose among 16 goal statements for their project. (The goal statements were taken from Systems Development Corporation's three year study of ESAA.) Many respondents felt the statements were more reflective of district processes than goals.

The second effort to determine project effectiveness was a questionnaire distributed to the program officers responsible for monitoring each project. The program officers were asked to rank each project on criteria measuring project design, project implementation processes and educational effectiveness. The data supplied presented no clear indication of project effectiveness. Some program officers felt unqualified to respond to the educational effectiveness of project components and did not complete that part of the questionnaire.

- 4 Executive Summary, Volume I, Administration of ESAA Basic and Pilot Programs: The Region II Experience. Applied Urbanetics, Inc., January, 1978.

CHAPTER 2. THE GRANT COMPETITION

The Act and regulations define the rules of the grant competition and the procedures that must be used to review Basic and Pilot applications and to allocate funds among and within states to eligible applicants. This chapter assesses the impact of ESAA program operations on four outcomes of the grant competition:

- the selection of funded districts;
- the content of the funded projects;
- the dollar value of the funded projects; and
- the official date of the grant award.

The five ESAA administrative procedures that may affect these outcomes are: (1) pre-award technical assistance and information dissemination; (2) the eligibility review; (3) application scoring and fund allocation; (4) the administrative budget review; and (5) preparation of the grant award document.¹

Selection of Funded Districts

In Region II, less than one-fourth of the possible Basic or Pilot program applicants submitted an application in FY 77. At the end of the FY 77 grant competition, 65 percent of the Basic applicants and 44 percent of the Pilot applicants had received a grant.²

Districts may not apply for a Basic or Pilot grant for many reasons. Possible reasons are district staff perceptions that: (1) the district has no current desegregation related needs; (2) the district is ineligible for an ESAA grant; and (3) the district cannot compete successfully for a Basic or Pilot grant because the statistical score emphasizes large minority enrollment. Applicants may not receive a Basic or Pilot grant for a wide range of reasons. For example, an applicant may not be funded because it actually has a low need for desegregation assistance as judged by the non-Federal panel relative to other Region II applicants, or because district staff do not have the skills or experience required to develop an application that receives a score in the fundable range.

This section assesses the extent to which ESAA program operations affect whether districts apply for or receive a Basic or Pilot grant. The first part of this section analyzes the characteristics of districts that applied for or received ESAA funds and therefore assesses the impact of ESAA program operations as a whole. The second and third parts of this section assess the extent to which individual features of ESAA program operations, including the eligibility review, and information dissemination and technical assistance, influenced which districts applied for or received an ESAA Basic or Pilot grant.

Characteristics of Applicant and Funded Districts

In this analysis of the extent to which districts applying for or receiving a Basic or Pilot grant in Region II differed from other districts in the Region, three sets of characteristics were examined: (1) desegregation related characteristics; (2) other district demographic characteristics; and (3) district experience with the ESAA Basic or Pilot programs prior to FY 77.

Two analytic procedures were used. The first procedure compared the application (award) rate of districts with specific characteristics with the application (award) rate of all districts in the relevant universe (applicant) group. The application rate was the percent of universe districts with a given characteristic applying for a Basic or Pilot grant. The award rate was the percent of applicant districts with a given characteristic that received a grant. In this study, the Basic universe of possible applicants was defined as the 208 districts with a minority enrollment greater than 300 or 50 percent. The Pilot universe was defined as the 63 districts that had sufficient minority pupils to meet the minority enrollment eligibility criteria for a Pilot grant.

The second analytic procedure for assessing the differences between ESAA applicants, grantees and the relevant universe, determined if the number of districts with an identifiable characteristic that applied for (received) a Basic or Pilot grant was significantly different from that expected on the basis of their proportion in the universe (applicant) population. The procedure tested a hypothesis, called a null hypothesis, that the actual number of districts with a specified characteristic (e.g., a required desegregation plan) applying for (receiving) an ESAA grant was no different from what one would have expected if proportionality holds. An appropriate statistical test was used to identify the level of certainty or confidence with which the null hypothesis was rejected. A rejection of the null hypothesis implies that there is some relationship between applying for (receiving) an ESAA grant and the district characteristic. However, non-rejection does not automatically imply the lack of a relationship, it may also imply that available data do not permit detection of a relationship at an acceptable level of confidence.³

Desegregation Related Characteristics

ESAA was originally adopted to provide emergency aid to newly desegregating school districts. ESAA requires that districts receiving ESAA Basic or Pilot grants have an eligible desegregation plan and meet other civil rights compliance standards. The Act does not, however, require any specific type of plan, place any limitations on the recency of the desegregation plan submitted as evidence of eligibility, nor require any minimum level of reduction of isolation of minority pupils resulting from the plan. This section assesses the extent to which applicant and

funded districts had identifiable desegregation related characteristics, including the type of plan, the recency of the plan, and the level and reduction of pupil minority isolation.

Plan Type

Eligible ESAA applicants are those implementing either a required or a non-required desegregation plan. A required plan is one that has been adopted as the result of an order of a Federal or state court, a Federal executive agency such as U.S. DHEW, the Office for Civil Rights (OCR), or the State Education Agency (SEA). A non-required plan must voluntarily eliminate, reduce or prevent minority isolation in one or more schools or maintain an integrated school.⁴

In Region II, nearly all districts in the universe of Basic and Pilot applicants had non-required plans (see Figure 2.1). Districts with non-required plans, therefore, formed the largest group of applicant and funded districts in both program categories. The ESAA program did, however, serve all nine districts in Region II with required plans.⁵ Six of the nine districts with required plans received a Basic grant; one of the six also received a Pilot grant. The three other districts with required plans received ESAA grants in other program categories.⁶

The high proportion of districts with required plans that received ESAA Basic grants was due to the high proportion of such districts that applied (see Figures A.3 and A.4).⁷ Districts with required plans applied for Basic grants at a higher rate than was expected (see Figure A.3). The rate at which districts with required plans received a Basic grant, however, was not greatly different from that expected given their representation in the applicant universe. Districts with non-required plans neither applied nor received grants at a higher than expected rate given their representation in the Basic and Pilot universe. This result was not surprising given that both the Basic and Pilot universe consisted overwhelmingly of districts with non-required plans.

Plan Recency

In Region II most districts adopted a desegregation plan in the 1960's. Because data on the year of plan implementation was available only for districts that applied for a Basic or Pilot grant, the distribution of

FIGURE 2.1

PLAN TYPE OF DISTRICTS IN REGION II: BASIC
AND PILOT UNIVERSE^{a/}: FY77

Plan Type	Percent of Universe	
	Basic	Pilot
Required.....	4.3	6.3
Non-Required.....	95.7	93.7
Total Number (N).....	208	63

^{a/} The Basic universe is defined as all districts in Region II with minority enrollment greater than 300 or 50 percent. The Pilot universe is defined as all districts with minority enrollment greater than 15,000 or 50 percent.

See Appendix B for data sources and definitions.

universe districts by plan year cannot be described. However, the high proportion of districts that desegregated before 1968 among both the Basic and Pilot applicants (see Figure 2.2) shows that it was very unlikely that districts with older plans were discouraged from applying for ESAA.

In both the Basic and Pilot programs, there was little difference in the rate at which districts desegregating at different times received an ESAA grant (see Figure 2.3). No statistically significant relationship was found between the year of plan implementation and whether a district received a Basic or Pilot grant (see Figure A.4).

Reduction in Pupil Minority Isolation

ESAA applications are rated on the net reduction in minority isolation that has been achieved through implementation of the eligible plan. The Act and regulations do not mandate that required plans achieve any minimum level in reduction of minority isolation. A required plan in fact may only refer to the reassignment of teachers. Non-required plans, however, must at minimum propose to reduce, or prevent from increasing, the total number of minority pupils attending schools with over 50 percent minority pupils.

In Region II, there was little plan impact when measured by: (1) the level of racial isolation; (2) the change in racial isolation between 1968 and 1975; and (3) the effective net reduction of minority isolation. In this analysis racial isolation, a measure of racial imbalance widely used in school desegregation research, was distinguished from minority isolation, the measure of plan impact used by the ESAA program. The level of racial isolation of universe and applicant districts was represented by an index which is a measure of racial imbalance: the extent to which the racial/ethnic composition of district schools differs from the racial/ethnic composition of the district as a whole. Racial isolation using this definition exists when proportions of minority and non-minority pupils in a district's schools differ from the district-wide proportions. The second measure of the impact of the desegregation plan was the change in the racial isolation index between 1968 and 1975.

The effective net reduction in minority isolation, the third measure, was available only for applicants. This

FIGURE 2.2

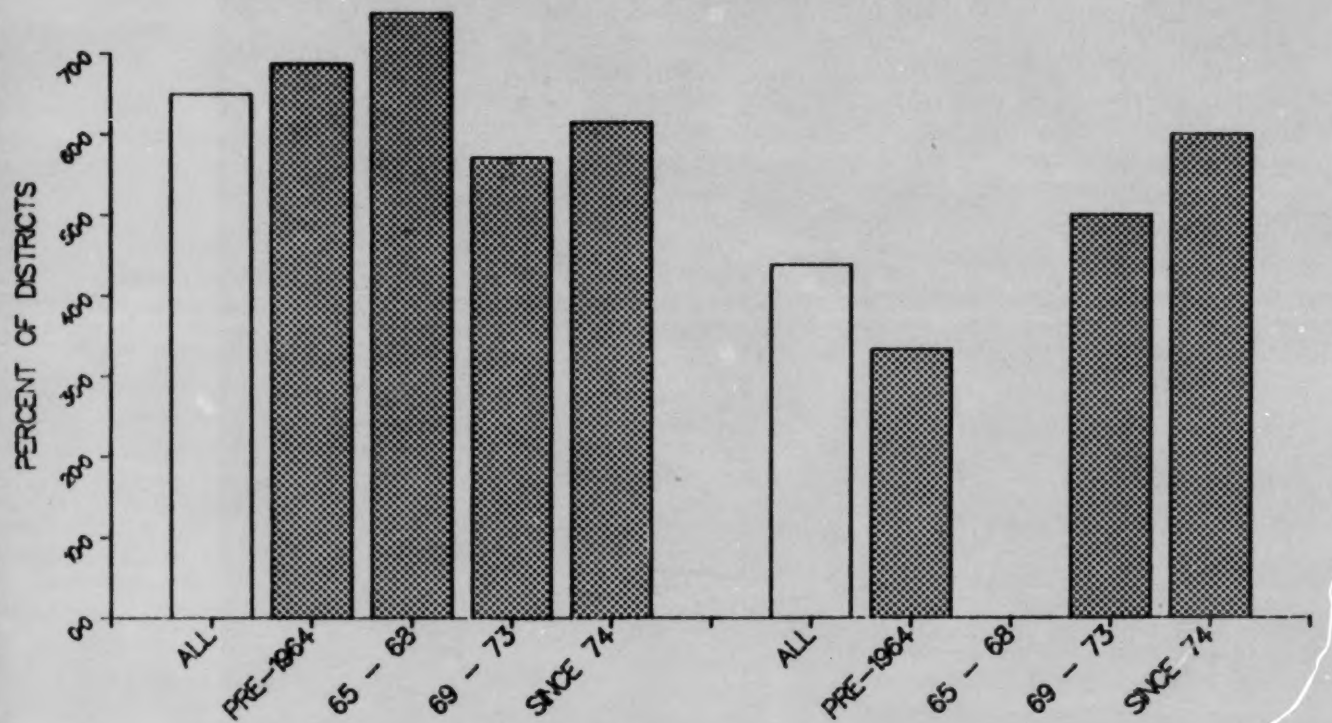
YEAR OF PLAN IMPLEMENTATION FOR DISTRICTS IN
REGION II: BASIC AND PILOT APPLICANTS:
FY77

Recency of Plan	Percent of Applicants	
	Basic	Pilot
Pre-1964.....	40	56.3
1965-1968.....	10	0
1969-1973.....	17.5	12.5
Since 1974.....	32.5	31.3
Total Number (N).....	40	16

See Appendix B for data sources and definitions.

FIGURE 2.3

THE AWARD RATE OF DISTRICTS
CLASSIFIED BY YEAR OF PLAN IMPLEMENTATION



BASIC

Basic Applicants = 40
Basic Funded Projects = 26

PILOT

Pilot Applicants = 16
Pilot Funded Projects = 7

measure was derived from the two indices of effective net reduction of minority isolation developed by the ESAA program to measure the impact of a district's desegregation plan. Because the indices were computed from data provided in ESAA applications, this measure was only available for districts that applied for an ESAA grant.

Racial isolation: the racial imbalance of district schools. In Region II, nearly three-fourths of the districts in the Basic universe and half of the districts in the Pilot universe had low levels of racial isolation, indicating that the racial/ethnic composition of the districts' schools were similar to the districts' racial/ethnic compositions (see Figure 2.4). Since ESAA does not require that a district achieve any specific reduction of racial isolation, it would not be surprising if the level of racial isolation in a district was unrelated to whether or not the district applied for or received a grant. Districts with a medium level of racial isolation applied for Basic grants at levels which were statistically significantly higher than expected (see Figure A.3). However, once districts with a medium level of racial isolation applied for a Basic grant, they received a grant at approximately the same rate as those with a low or high level of racial isolation (see Figure 2.5).

Change in racial isolation. For most districts in Region II, there was little change (decrease or increase) in racial isolation between 1968 and 1975. Very few districts in either the Basic or the Pilot universe experienced change in racial isolation that could be attributed to changes in pupil reassignment (see Figure 2.6). Only 26 of the 189 Basic universe districts and 15 of the 55 Pilot universe districts experienced a decrease in racial isolation. In six Basic and five Pilot universe districts, there was an increase in racial isolation. In the remaining districts, the change in racial isolation was so small (-10 to +5 on a scale ranging from -100 to +100), that anomalies in the survey data used to calculate the indices could account for the measured change.

The small changes in racial isolation can be attributed to two factors. First, districts in Region II did not have dual or state mandated segregated school systems for minority and non-minority children in 1968. The levels of racial isolation in Region II districts

FIGURE 2.4

RACIAL ISOLATION INDEX^{a/} FOR DISTRICTS IN REGION II:
BASIC AND PILOT UNIVERSE^{b/}: FALL 1975

Racial Isolation Index	Percent of Universe	
	Basic	Pilot
Low (0-10).....	70.2	50.8
Medium (10-30).....	19.7	27.0
High (greater than 30)...	10.1	22.2
Total Number (N).....	208	63

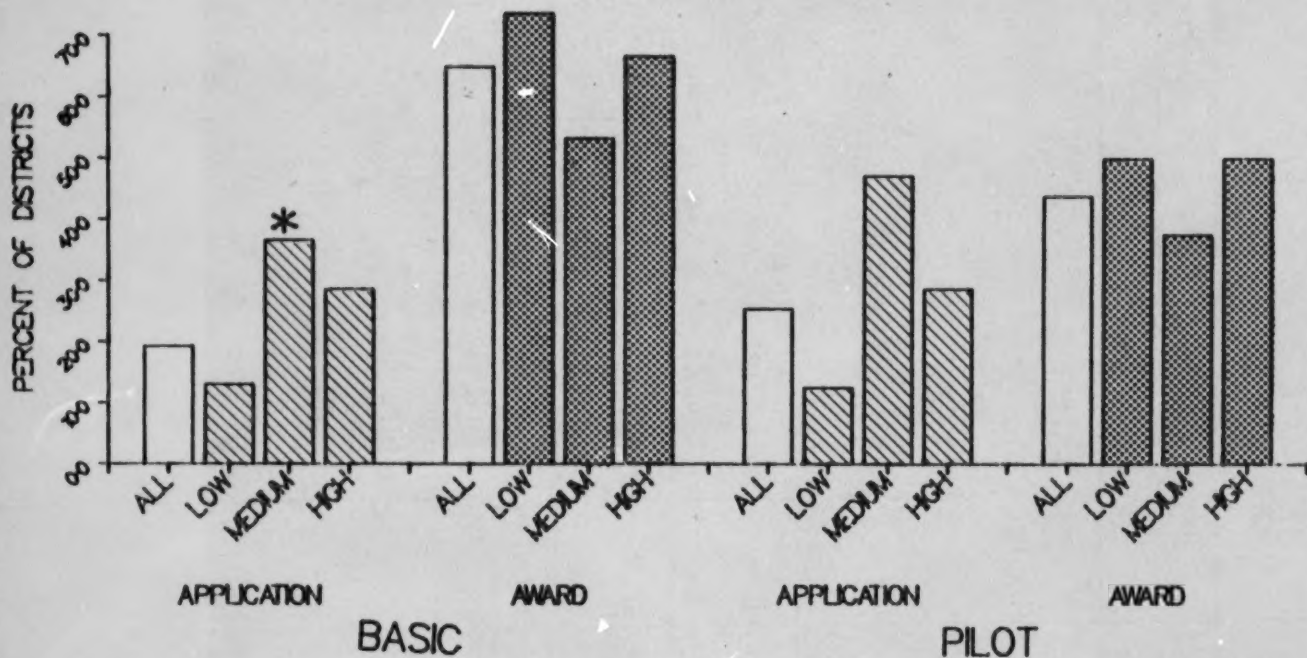
a/ The Racial Isolation Index measures the extent to which the proportion of minority and non-minority children in the district's schools mirror the district-wide proportions. The index ranges from zero (all schools have the same proportion of minority and non-minority pupils as the district as a whole) to 100 (all schools are either all non-minority or all minority). Minority children include children classified as minority in the racial/ethnic survey; Hispanic children were classified as minority when the index was computed.

b/ The Basic universe is defined as all districts in Region II with minority enrollment greater than 300 or 50 percent. The Pilot universe is defined as all districts with minority enrollment greater than 15,000 or 50 percent.

See Appendix B for data sources and definitions.

FIGURE 2.5

THE APPLICATION AND AWARD RATES OF DISTRICTS
CLASSIFIED BY RACIAL ISOLATION INDEX



Basic Applicants = 40
Basic Funded Projects = 26
Total Basic Universe = 208

Racial Isolation Index
LOW = 0 - 10
MEDIUM = 10 - 30
HIGH = Greater than 30

Pilot Applicants = 16
Pilot Funded Projects = 7
Total Pilot Universe = 63

* The difference between the expected and actual proportion of applicant districts is statistically significant at the .01 level.

FIGURE 2.6

CHANGE IN RACIAL ISOLATION INDEX^{a/} OF DISTRICTS
IN REGION II: BASIC AND PILOT UNIVERSE^{b/}
FALL 1968 - FALL 1975

Change in Racial Isolation	Percent of Universe	
	Basic	Pilot
Decrease (< -10).....	13.8	27.3
No change (> -10 < 5).....	77.3	63.6
Increase (> 5).....	8.5	9.1
Total Number (N).....	189 ^{c/}	55 ^{c/}

^{a/} The Racial Isolation Index measures the extent to which the proportion of minority and non-minority children in the district's schools mirror the district-wide proportions. The index ranges from zero (all schools have the same proportions of minority and non-minority pupils as the district as a whole) to 100 (all schools are either all non-minority or all minority). Minority children include children classified as minority in the racial/ethnic survey; Hispanic children were classified as minority when the index was computed.

^{b/} The Basic universe is defined as all districts in Region II with minority enrollment greater than 300 or 50 percent. The Pilot universe is defined as all districts with minority enrollment greater than 15,000 or 50 percent.

^{c/} The decrease in the total number (N) is due to missing data.

See Appendix B for sources and definitions.

were, therefore, lower than the national average for that year. Second, Region II districts have not reassigned large numbers of pupils to achieve racial balance. While southern districts have implemented district wide reassignment plans to remedy district imposed segregation, most desegregation plans in Region II have been open enrollment or mandatory pupil reassignment plans affecting only a small number of district schools.

The few Region II districts that experienced an increase in racial isolation applied for a Basic or Pilot grant at higher rates than those with decreased or no change in racial isolation (see Figure 2.7). However, there was no statistically significant relationship between the level or direction of change in racial isolation and whether a district applied for a Basic or Pilot grant (see Figure A.3).

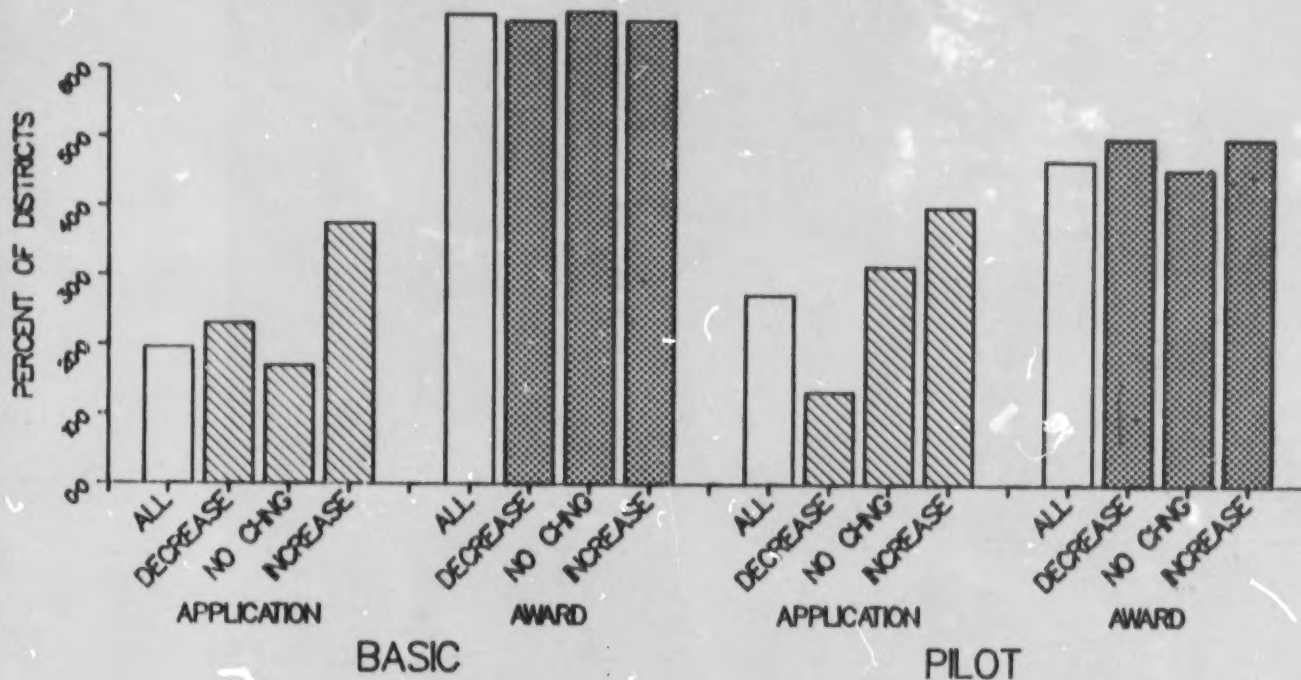
The rate at which districts received a Basic or Pilot grant was almost the same for all levels of change in racial isolation. Whether a district received a Basic or Pilot grant was also not related to the extent or the direction of change in racial isolation (see Figure A.4).

While districts that experienced decreased racial isolation applied for and received ESAA grants at a low rate, this does not mean that a large number of districts with desegregation related needs did not receive ESAA grants in FY 77. A decrease in racial isolation may arise without desegregation. Decreased racial isolation, that is to say movement towards racially balanced schools, may simply reflect the fact that all district schools have become uniformly predominately minority or majority. While districts with such high percentages of minority enrollment can adopt a desegregation plan that meets ESAA eligibility criteria, most of these districts have not. Examination of the racial composition and ESAA funding history of districts with decreased racial isolation identified one newly desegregating district, Lackawanna, New York, that was not successful in the ESAA competition.⁸ That district was, however, funded as a Special ESAA project. The remaining districts with decreased racial isolation had very high percentages of minority children.

The relatively higher rates at which districts with increased racial isolation applied for and received Basic or Pilot grants demonstrate the broad nature of ESAA eligibility and selection criteria. As ESAA does not require any minimum level of pupil reassignment, districts

FIGURE 2.7

THE APPLICATION AND AWARD RATES OF DISTRICTS
CLASSIFIED BY CHANGE IN RACIAL ISOLATION INDEX



Basic Applicants = 37
Basic Funded Projects = 25
Total Basic Universe = 189

DECREASE = Less than -10
NO CHANGE = -10 to +5
INCREASE = Greater than +5

Pilot Applicants = 15
Pilot Funded Projects = 7
Total Pilot Universe = 55

with increased levels of racial isolation (imbalance) may qualify for and receive a Basic or Pilot grant. Only districts with an all minority enrollment that cannot desegregate one school cannot develop a plan to meet ESAA eligibility criteria. An examination of the relationship between racial composition and ESAA funding history of districts with increased racial isolation revealed, with one exception, that all districts with increased racial isolation between 1968 and 1975 that received ESAA grants, achieved ESAA eligibility with plans that changed the racial composition of only a small number of their schools. Only CSD 21, which desegregated after 1975, achieved later decreases in racial isolation.⁹

Reduction of minority isolation, the ESAA program's plan impact measure. As defined by the program, minority isolation (as distinguished from the above measure of racial isolation) occurs when minority children attend schools in which the enrollment is 50 percent or more minority. ESAA has as one of its objectives the reduction or prevention or elimination of minority isolation. The indices of effective net reduction in minority isolation, developed by the program, measure the change in the number and percent of minority children in schools with different degrees of minority isolation.

These indices, calculated from data supplied in ESAA applications, were available only for applicants. The high percentage of applicants with no effective net reduction as measured by those indices (see Figure 2.8) suggests that districts which have no plan impact, as defined by the ESAA program, were not discouraged from applying for an ESAA grant. As the two indices are used to calculate two components of the statistical score used to rank applicants, it was not surprising that districts with some effective net reduction (with a few exceptions) were more likely to receive Basic or Pilot grants than those with no effective net reduction (see Figure 2.9). However, there was no statistically significant relationship between level of effective net reduction and whether or not a district received a Basic or Pilot grant (see Figure A.4).

FIGURE 2.8

INDEX^{a/} OF THE NUMBER OF MINORITY CHILDREN WHOSE
ISOLATION HAS BEEN REDUCED IN REGION II:
BASIC AND PILOT APPLICANTS: FY77

Index of the Number of Minority Children	Percent of Applicants	
	Basic	Pilot
0.....	40.0	68.8
1-100.....	15.0	6.3
100-200.....	12.5	6.3
200-500.....	20.0	6.3
500-1,200.....	12.5	12.5
Total Number (N).....	40	16

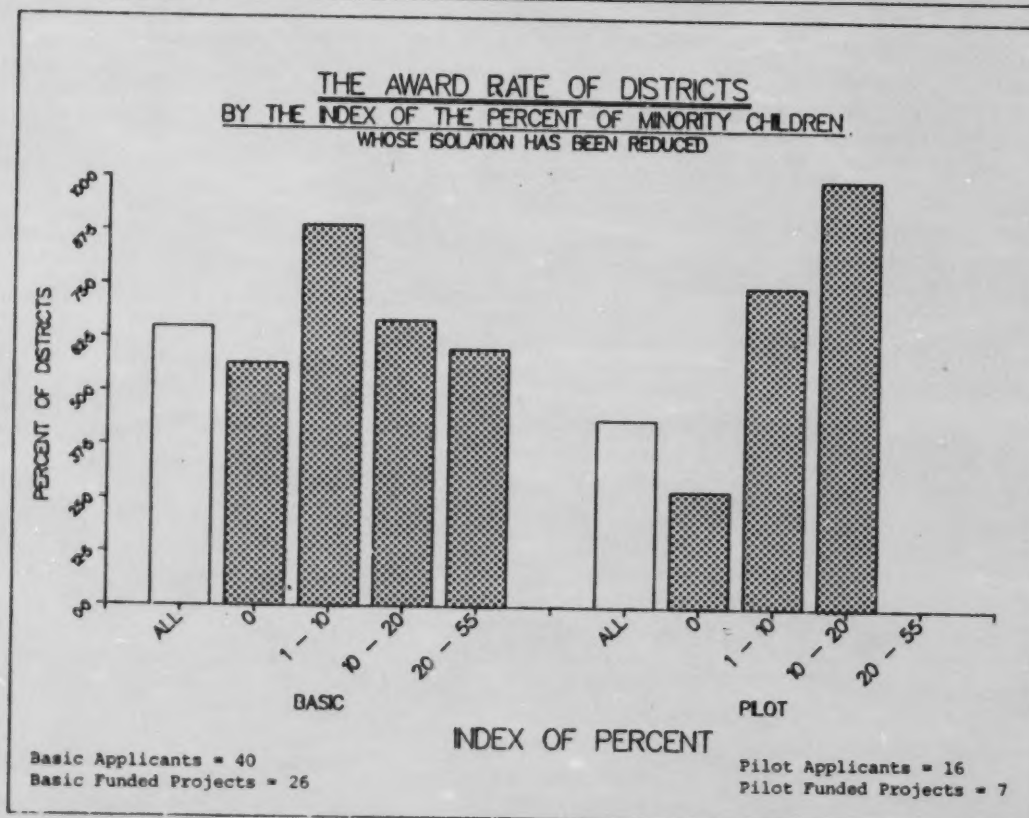
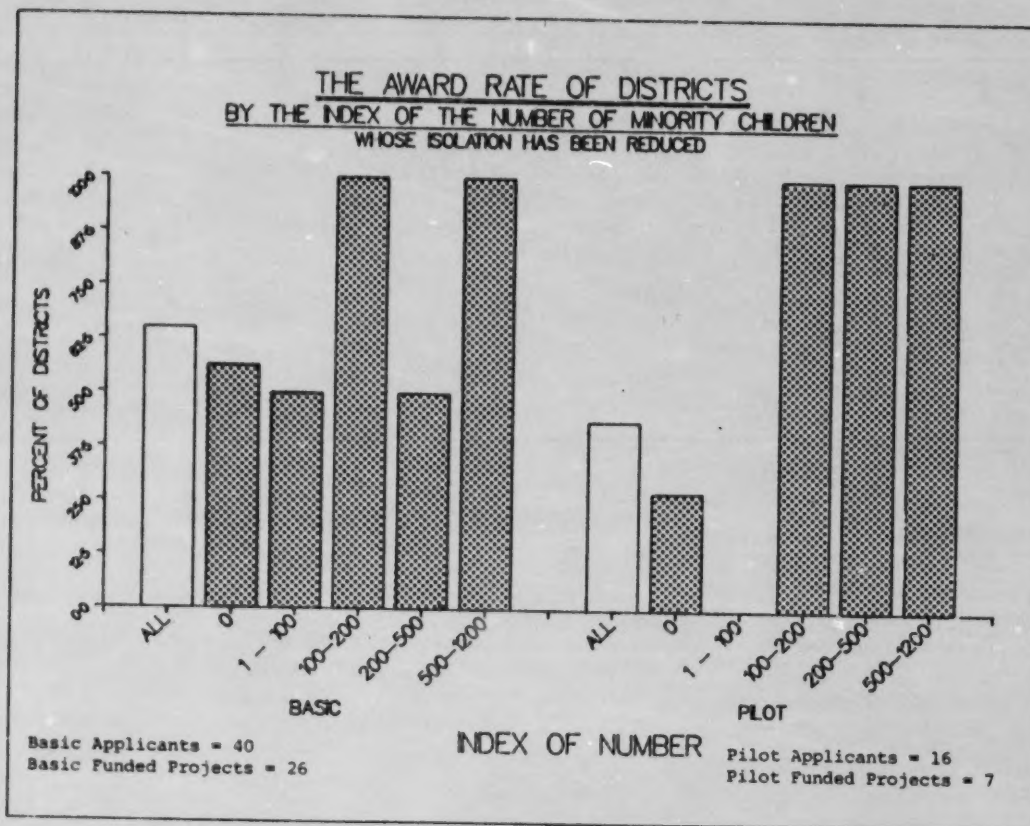
INDEX^{a/} OF THE PERCENT OF MINORITY CHILDREN
WHOSE ISOLATION HAS BEEN REDUCED IN REGION II:
BASIC AND PILOT APPLICANTS: FY77

Index of the Percent of Minority Children	Percent of Applicants	
	Basic	Pilot
0.....	57.5	68.8
0-10.....	22.5	25.0
10-20.....	7.5	6.3
20-55.....	12.5	0
Total Number (N).....	40	16

a/ These Indices are measures of the change in minority isolation resulting from implementation of the district's desegregation plan. Specifically, the Indices are weighted sums of the changes in the number (percent) of the district's minority students attending schools with different proportions of minority students, i.e., different levels of minority isolation.

See Appendix B for data sources and definitions.

FIGURE 2.9



Desegregation and ESAA Basic and Pilot Funding in Region II

The foregoing analysis found little evidence of need for desegregation assistance in Region II as measured by plan recency and impact. Few districts experienced any change in racial isolation between 1968 and 1975. There was no evidence that any Region II district with substantial desegregation needs failed to apply for a Basic or Pilot grant. Half of the districts that applied showed no evidence of desegregation as measured by the ESAA stat score components (the number and percent of minority pupils experiencing reduction of minority isolation as a result of the plan). Half of the districts that applied for and received ESAA funds had plans that had been in place a decade or more.

Desegregation related need was not always related to whether an applicant received an ESAA grant. The applicants with required plans were most likely to be funded. However, the award rates for districts with non-required plans were also very high. No statistically significant relationship was found between the year of plan implementation and whether a district received a Basic or Pilot grant. The plan impact measures were not strongly related to whether an applicant received a grant. Those applicants with scores above zero on the ESAA program measures of plan impact were only somewhat more likely (with few exceptions) to be funded than districts with zero scores. Similarly, districts with medium levels of racial isolation were only slightly less likely to receive a grant than those with high or low levels of racial isolation.

Demographic Related Characteristics

The Basic and Pilot application scoring and fund allocation processes are intended to target funds on those districts with the greatest need for assistance related to the objectives of the Act. The preceding analysis found that applicant and funded districts were not distinguished by desegregation related characteristics. This analysis examined the extent to which applicant (funded) districts were distinguished by characteristics less closely related to the objectives of the Act. The district characteristics analyzed included minority enrollment, special need populations and metropolitan status. In addition, the effect of prior experience with the ESAA program was assessed.

Minority Enrollment

The Act does not give any priority to districts with large minority enrollment. It does, however, require that districts be selected to receive grants within states on the basis of relative need. Also, the size of the minority enrollment, measured in number and percent, are specified by the regulations as two components of the statistical score used to measure relative need.

In Region II, 76 percent of the districts in the Basic universe had less than 15,000 minority pupils; 22.6 percent had less than 15 percent minority enrollment. Because the Pilot program limits eligibility to districts with greater than 50 percent or 15,000 minority pupils, districts in the Pilot universe had larger minority enrollments than those in the Basic universe (see Figure 2.10).

In both the Basic and Pilot programs, districts with large minority enrollments applied for ESAA Basic and Pilot grants at higher rates than those with small minority enrollments. In both program categories the relationship between minority enrollment and whether or not a district applied for an ESAA grant was statistically significant (see Figures 2.11 and A.3). One explanation is that districts with few minority pupils may not have applied because district staff did not feel they could successfully compete with districts with large minority enrollments. A review of the statistical score could convince staff of districts with small minority enrollments that their applications would not receive a score that could successfully compete with higher statistical scores awarded to districts with large minority enrollments. Grant award data show, however, that this perception would be incorrect.

Of districts that applied for a grant, those with higher number or percent minority received grants at slightly higher rates than those with lower number or percent minority (see Figure 2.11). However, there were no statistically significant relationships between minority enrollment size and whether a district received an ESAA grant (see Figure A.4). In Region II, the higher statistical scores awarded for large minority enrollment were not decisive in the selection of grantees.

Other Demographic Characteristics

Other demographic variables which could serve as indicators of relative need were the number of economically or educationally disadvantaged pupils in the

FIGURE 2.10

MINORITY ENROLLMENT OF DISTRICTS IN REGION II:
BASIC AND PILOT UNIVERSE^{a/}: FALL 1975

Number Minority Enrollment	Percent of Universe	
	Basic	Pilot
0-5,000.....	76.0	38.1
5,000 to 15,000.....	11.1	19.0
Over 15,000.....	13.0	42.9
Total Number (N).....	208	63

PERCENT MINORITY ENROLLMENT OF DISTRICTS IN REGION II:
BASIC AND PILOT UNIVERSE^{a/}: FALL 1975

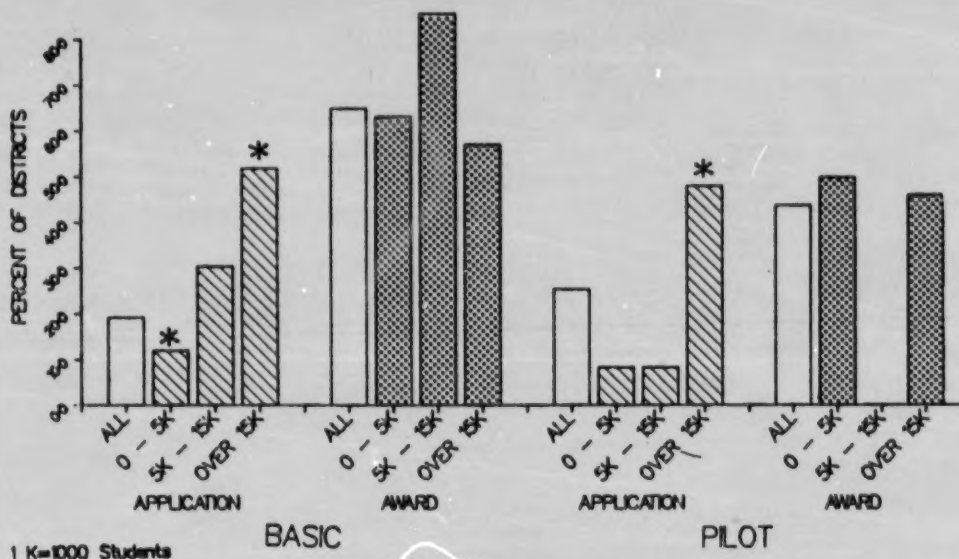
Percent Minority Enrollment	Percent of Universe	
	Basic	Pilot
0-15.....	22.6	0
15-30.....	29.3	0
30-70.....	27.9	33.3
70-90.....	12.0	39.7
Over 90.....	8.2	27.0
Total Number (N).....	208	63

^{a/} The Basic universe is defined as all districts in Region II with minority enrollment greater than 300 or 50 percent. The Pilot universe is defined as all districts with minority enrollment greater than 15,000 or 50 percent.

See Appendix B for data sources and definitions.

FIGURE 2.11

THE APPLICATION AND AWARD RATES OF DISTRICTS
CLASSIFIED BY MINORITY ENROLLMENT

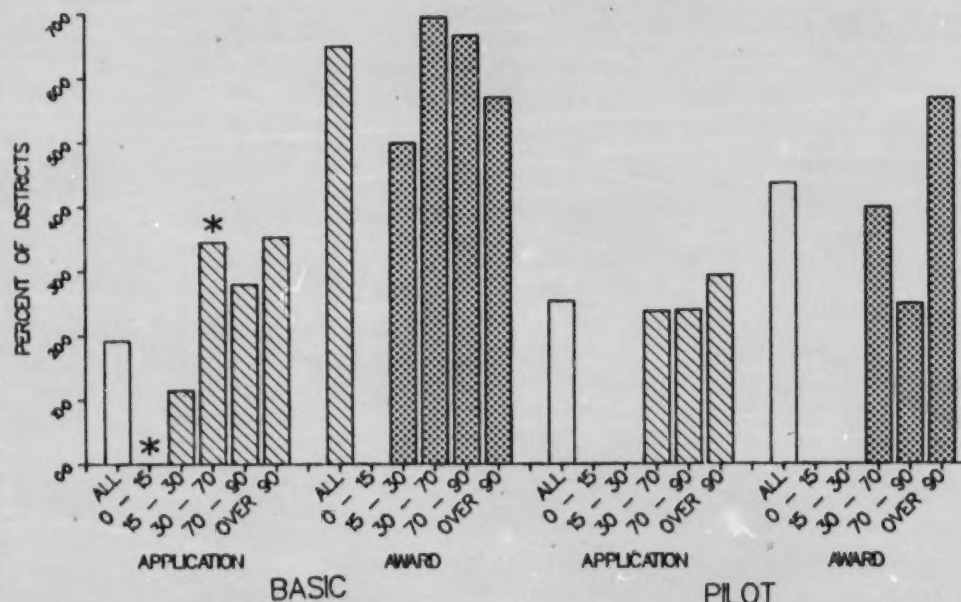


Basic Applicants = 40
Basic Funded Projects = 26
Total Basic Universe = 208

Pilot Applicants = 16
Pilot Funded Projects = 7
Total Pilot Universe = 63

* The difference between the expected and actual proportion of applicant districts is statistically significant at the .05 or .01 level.

THE APPLICATION AND AWARD RATES OF DISTRICTS
CLASSIFIED BY PERCENT MINORITY ENROLLMENT



Basic Applicants = 40
Basic Funded Projects = 26
Total Basic Universe = 208

Pilot Applicants = 16
Pilot Funded Projects = 7
Total Pilot Universe = 63

* The difference between the expected and actual proportion of applicant districts is statistically significant at the .01 level.

district or the metropolitan status of the school district. All of these variables were found to be related to whether or not a district applied for a Basic grant. Districts with low proportions of economically or educationally disadvantaged children, and rural or suburban districts applied at significantly lower rates than expected given their representation in the Basic universe. Districts with high proportions of economically disadvantaged children and center city districts applied at significantly higher rates than expected (see Figure A.3).

Among districts in the Pilot universe, the application rate was significantly lower than expected for suburban districts and higher than expected for center city districts. Once districts applied, however, there were no statistically significant relationships between these demographic characteristics and whether or not a district received a Basic or Pilot grant (see Figure A.4).

Past Experience with ESAA

In Region II, one characteristic was found to be strongly related to whether a district applied for or received an ESAA grant: prior experience as an applicant or as a recipient with the ESAA Basic or Pilot programs. As shown in Figure 2.12, the proportion of districts with experience in the ESAA program was relatively small. Figure 2.13 shows that those districts with prior ESAA experience as both an applicant and recipient applied for and received ESAA grants at higher rates than those with no ESAA experience. (The sole exception was the one Pilot applicant that had not been funded but had received a grant in two prior years, thus reducing the award rate in that category to zero). Among Basic and Pilot universe districts, those that had applied for 4 years applied at significantly higher rates than expected. In both programs, the applicant rate for districts with no prior applicant experience was significantly lower than expected given their representation in the population (see Figure A.3).

Once districts applied, those with past ESAA experience received a grant at higher rates than those with less experience. However, only the relationship between 4 years of success in receiving a Basic grant and receipt of a Basic grant in FY 77 was statistically significant (see Figure A.4).

FIGURE 2.12

NUMBER OF YEARS APPLIED FOR DISTRICTS IN REGION II
BASIC AND PILOT UNIVERSE^{a/}: FY77

Number of Years Applied	Percent of Universe	
	Basic	Pilot
0.....	64.4	47.6
1.....	11.5	17.5
2.....	7.7	12.7
3.....	3.4	7.9
4.....	13.0	14.3
Total Number (N).....	208	63

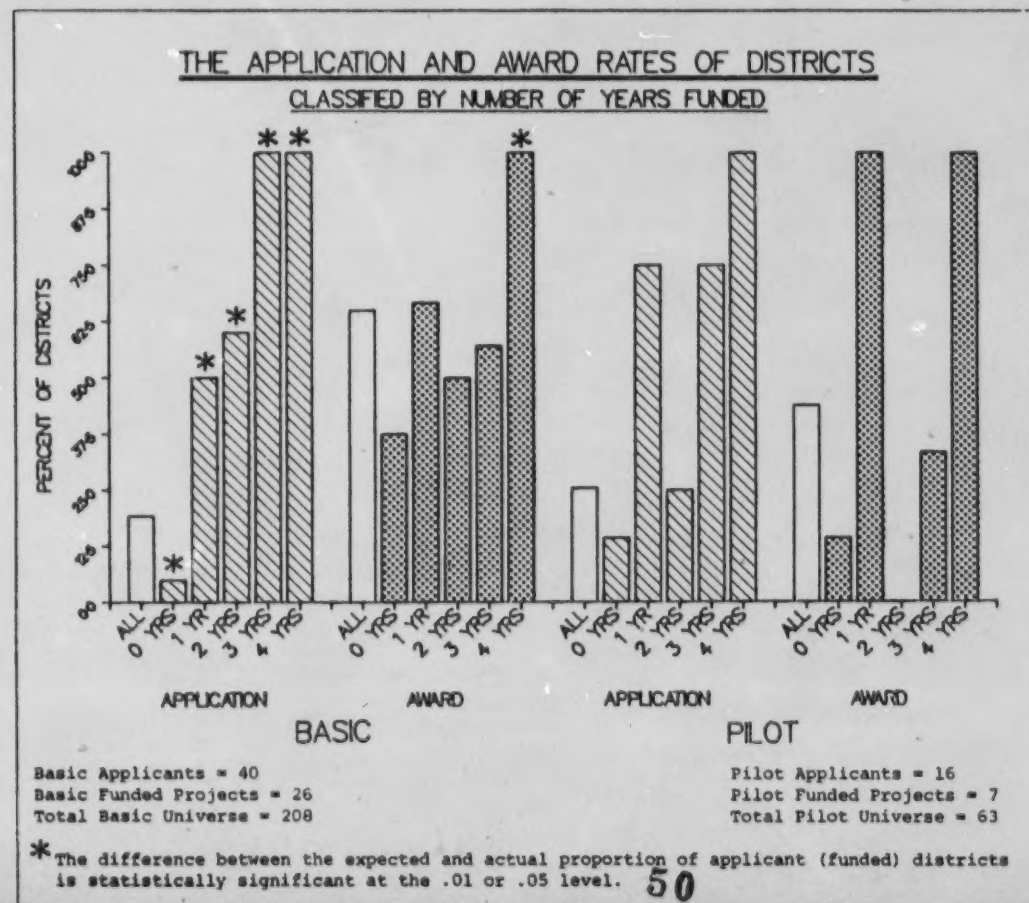
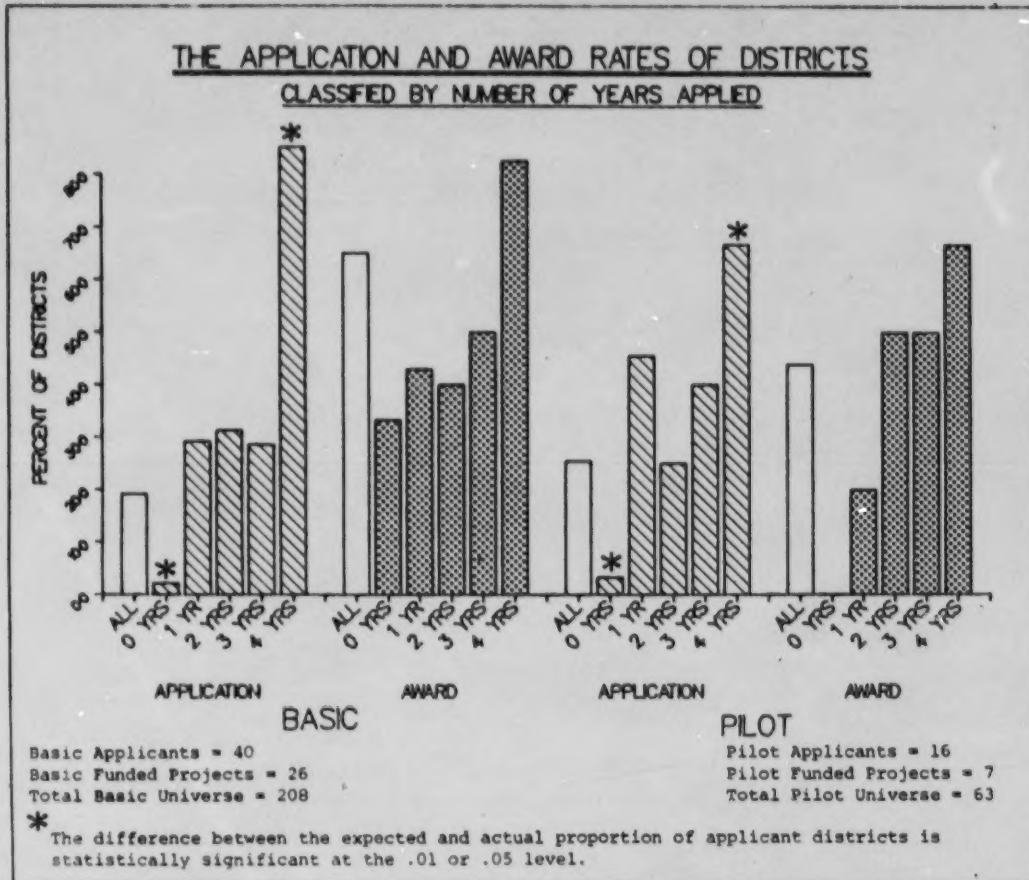
NUMBER OF YEARS FUNDED FOR DISTRICTS IN REGION II
BASIC AND PILOT UNIVERSE^{a/}: FY77

Number of Years Funded	Percent of Universe	
	Basic	Pilot
0.....	78.4	77.8
1.....	8.7	6.3
2.....	4.8	6.3
3.....	3.4	6.3
4.....	4.8	3.2
Total Number (N).....	208	63

^{a/} The Basic universe is defined as all districts in Region II with minority enrollment greater than 300 or 50 percent. The Pilot universe is defined as all districts with minority enrollment greater than 15,000 or 50 percent.

See Appendix B for data sources and definitions.

FIGURE 2.13



Impact on District Staff's Decision to Apply

Assessment of the impact of ESAA program operations on district staffs' decisions to apply for a Basic or Pilot grant is not possible without a survey of district staff likely to prepare an ESAA application. The comparison of the rate at which districts with different characteristics applied for a Basic or Pilot grant did, however, suggest that some features of the Act, the regulations, and administrative guidelines encouraged some districts to apply for a grant and discouraged others.

One example of possible impact of program operations was the low application rate among districts with small minority enrollment. The presence of measures of minority enrollment in the statistical score may have discouraged the staff of districts with small minority enrollments from applying. However, an equally plausible explanation not due to the ESAA program is that personnel in districts with small minority enrollments believed their district had few desegregation related needs or their desegregation related needs could be met with local resources.

Another possible impact of program operations was the relatively low rates at which districts with little or no prior experience with ESAA applied for a Basic or Pilot grant. This could result if district personnel in newly desegregating districts were not fully knowledgeable about ESAA. In Region II, ESAA program officers believed that their role was to inform districts of the ESAA program through letters to all Region II districts and through publicly announced information dissemination meetings, and to respond to requests for technical assistance. Attempts to identify districts needing desegregation assistance that had not applied or had applied without success was regarded as beyond the scope of the ESAA program officers' legitimate role.

In Region II, however, little evidence of unmet desegregation related need was found. Therefore, a more aggressive recruitment policy would not necessarily target assistance on more needy districts. However, the succeeding section will show that ESAA program officers could improve the success rate of newly desegregating applicants and target project components and activities on desegregation related needs through pre-award technical assistance.

Impact on the Selection of Funded Districts

The features of ESAA program operations which may affect the selection of funded districts are the eligibility review, and application scoring and fund allocation.

Eligibility Review

This section will examine the eligibility review process, the actions districts are willing to take to comply with ESAA eligibility standards, and the reliability of the review process.

The Process

No district may be awarded a Basic or Pilot grant unless OCR certifies that the district has an eligible desegregation plan and meets ESAA civil rights compliance standards.¹⁰ The eligibility review includes up to seven steps:

1. The Regional offices of OCR make a preliminary determination of eligibility and compliance with ESAA civil rights standards.
2. If available data will not support a determination of an eligible desegregation plan, Regional officers will recommend to Washington OCR officials that the district be offered the opportunity of a "show cause" hearing in which the district may present information showing why they have an eligible plan.
3. A district that cannot offer proof of an eligible desegregation plan will be declared ineligible to receive funds.
4. If available data do not support a determination of compliance with civil rights standards, a "Request for Information" letter may be sent to the district requesting clarification of data. The district may respond in writing or in an informal meeting at offices of Regional OCR. If the district can convince Regional OCR officials that the apparent inequity is not the result of discrimination, the district will be declared eligible.

5. If the district cannot convince Regional OCR of its compliance, the Regional office will prepare a Letter of Findings of Ineligibility for the district. This letter is forwarded to Washington OCR where it must be approved before it is transmitted to the district. Regional offices of OCR may skip the Request for Information and recommend a Letter of Findings of Ineligibility initially to Washington OCR.
6. If Washington OCR approves, the Letter of Findings of Ineligibility will be sent to the district. If the district still wishes to apply for ESAA, it may apply for a waiver of ineligibility or request a show cause hearing to appeal the OCR finding that the district is ineligible for ESAA. In order to be granted the waiver, the district must have remedied the discriminatory action cited, not merely ceased the actions that caused the discrimination.
7. If Washington OCR is satisfied that the district has taken the proper action to correct the non-compliance, the waiver will be granted.

In Region II, the ESAA eligibility review frequently included all seven steps. This pattern was not typical of other Regions.

Actions Districts Were Willing
to Take to Comply

An initial finding of ineligibility does not mean a district will be unable to receive a grant. In Region II, most districts found ineligible for ESAA were willing to take the actions necessary to obtain a waiver of ineligibility. In FY 77, 14 CSD Basic applicants and nine of the CSD Pilot applicants were willing to reassign teachers and to provide additional bilingual services required to come into compliance with ESAA regulations for civil rights standards. In FY 76, seven of the 11 districts found out-of-compliance took the action required to receive a waiver of ineligibility.

Reliability of the Process

In Region II, the process used to determine eligibility has been unreliable. Examples of the unreliability of OCR processes in Region II include:

- a determination that a district does not meet plan eligibility criteria or civil rights standards after the district has received one or more grants; and
- a high rate of Regional findings of ineligibility due to non-compliance reversed without explanation by Washington OCR.

The ESAA administrative procedure that allows the Community School Districts within New York City to submit the New York City Central Board desegregation plan as evidence of eligibility is one cause of the unreliability of findings of plan eligibility in Region II. Two CSDs in New York City received plan eligibility in FY 75 and FY 76 although no schools in either district were desegregated under the New York City plan. In FY 76, under instructions from Washington EEOP to verify that only schools directly affected by the desegregation plan should receive services supported by a Basic grant, ESAA program officers carefully reviewed the schools listed for services in each application. During this review, ESAA program officers determined that these two districts were ineligible for ESAA. The two districts were then informed that they would remain eligible in FY 76, but would be ineligible in future years unless at least one school was desegregated in each district. Because the student enrollment in each district was over 95 percent minority, neither district could adopt an acceptable plan.

The determination of ineligibility for the New York City Central Board and all CSDs that applied for ESAA funds in FY 77 is a second example of the unreliability of the OCR review process. These ineligibility findings were based on long standing staff hiring and assignment policies and on failure to provide bilingual education. If these practices were sufficient cause for findings of ineligibility in FY 77, they should have been cause for ineligibility findings in previous years. Yet, OCR had prepared letters of ineligibility for only six of the New York City CSDs previous to FY 77. The eligibility of New York City, which has been the subject of a comprehensive civil rights compliance review since 1973, was not challenged until 1977.

The FY 77 eligibility review provides a third example of the unreliability of this process. Figure 2.14 provides an overview of the outcomes of the eligibility review in FY 77. Initially, Regional OCR found 35 of the 40 Basic applicants and all 16 of the Pilot applicants in Region II ineligible for one or more reasons. Washington OCR refused to concur in these findings of ineligibility, except for the New York City Central Board and the CSDs, which had been the subject of a comprehensive compliance review. At the insistence of Washington OCR, the districts outside New York City were sent "Request for Information" letters asking for additional information on data that appeared to show evidence of discrimination, instead of a Letter of Findings of Ineligibility. In all cases where a Request for Information was sent, Regional OCR eventually declared the district eligible to receive funds. Regional OCR officials explained the initial findings of ineligibility as a mistaken interpretation of eligibility standards on their part.

Application Scoring and Fund Allocation

This section describes the application scoring and fund allocation processes that affected which applicants received a Basic or Pilot grant, assesses the relative importance of the statistical and quality scores and assesses the impact of ESAA program operations on the distribution of the statistical and quality scores received by Region II applicants.

The Process

The application scoring and fund allocation process determines whether an eligible applicant will receive a Basic or Pilot grant. The process includes up to four steps:

1. ESAA Basic and Pilot applications are scored in two parts: a statistical or 'stat' score, measuring each district's need for assistance, and a quality score, measuring the appropriateness and comprehensiveness of the proposed project. The sum of these two scores is the composite or total score.

FIGURE 2.14

OUTCOMES OF THE ESAA ELIGIBILITY REVIEW IN FY 77

Percent of Districts Found to be in Non-Compliance Because of:							
Discrimination Among Children:-						Discrimination Among Staff:	
	<u>Number and Percent of Applicants</u>		<u>Isolation of Children^{a/}</u>	<u>Unequal Discipline Practices</u>	<u>Unequal Educational Opportunities on the Basis of Language</u>	<u>Unequal Resource Allocation</u>	<u>Disproportionate Dismissal, Demotion, Hiring, or Assignment^{b/}</u>
	<u>Number</u>	<u>Percent</u>					
<u>BASIC APPLICANTS</u>							
Requests for Information	17	43	40	25	28	0	5
Letter of Findings	18	45	0	0	45	0	20
No Problems	5	13					
<u>PILOT APPLICANTS</u>							
Request for Information	4	25	13	6	13	0	0
Letter of Findings	12	75	0	0	75	25	63
No Problems	0	0					

a/ Includes classes varying +/-20% from the racial composition of the school, ability grouping by race, and all minority classrooms.

b/ Includes denying comparable facilities to children by assigning teachers with less experience and salary to minority schools and subsequently less per pupil expenditure at minority schools.

See Appendix B for sources and definitions.

2. The applications are ranked within state by composite score and funded until two-thirds of the allocation in each program category in each state is exhausted.
3. Districts which did not achieve the minimum quality (28 for the Basic, 33 for the Pilot) or total (40 for the Basic, 45 for the Pilot) score or were not funded because there were insufficient funds in the program category are allowed to revise and resubmit their application.
4. A second or resubmit application rating cycle is then completed to award the remaining one-third of the state allocation.

Not all eligible applicants that achieve the minimum quality and total scores required to receive a Basic or Pilot grant are funded. Many applicants that are not funded at the end of the second cycle, but that achieve scores above the minimum required to receive an ESAA grant (a situation called "Fiscal Hold"), do receive an award after funds are reapportioned from states where there were more funds than qualified applicants.

Relative Importance of the Statistical and Quality Score

In both the Basic and Pilot grant programs, ESAA regulations assign a higher number of points to the statistical score, which measures the need for assistance, than to the quality score, which measures the merit of the proposed project. The higher number of points assigned to the statistical score was intended to give greater weight to need than to the quality of the application. The application rating process allows applicants that did not receive a quality score in the fundable range in the first review cycle an opportunity to resubmit their application. The quality score, therefore, was intended to affect the cycle in which a district is funded. The stat score, with its greater weight in the total score, was designed originally to primarily influence the applicant's rank in the within state competition. An application's rank in the within state competition affects not only the cycle of the award, but also whether a district receives a grant at all if there are insufficient funds in the state and program category to fund all eligible applicants.

In the New York and New Jersey Basic grant competitions and the New Jersey Pilot competition, all eligible applicants that received a quality score in the fundable range received an ESAA grant. The quality score received by the application was, therefore, the only factor that determined whether the application was funded.

In the Pilot competition in Region II, two eligible New York applicants that received a quality score in the fundable range did not receive a Pilot grant. The selection of grant recipients in the New York Pilot competition was, therefore, influenced by both the quality scores received by the applications and by the availability of grant funds in the state and program category. According to ESAA administrative procedures, applications are funded within each state in rank order by total score. Available funds were exhausted after five eligible applicants were funded, leaving two applications in fiscal hold. A comparison of the rank order correlations of the total statistical and total quality scores with the total scores received by Pilot applications shows that the quality score was more highly correlated with the total score than the stat score.¹¹ Because there was little variance in the statistical scores received by Pilot applicants, the quality score was the most important determinant of the rank order of the Pilot applications in the within state competition.

The resubmit process was important in Region II only because 13 of the Basic applications and nine of the Pilot applications did not receive a quality score in the fundable range on the first submission. These applications would not have been considered for funding without the opportunity to resubmit and receive a higher quality score. However, if no minimum quality score were required, the resubmit process would have had little impact on which applications were funded because the relative rank order of the resubmitted applications did not change as a result of resubmission. Four Basic applicants and one Pilot applicant did not resubmit. Eight Basic and five Pilot applications did not receive a score in the fundable range after the applications were resubmitted.

The Statistical Score in Region II

ESAA program officers calculate a stat score for each application from enrollment statistics supplied by the applicants. The stat score has four components:

1. the number of minority pupils;
2. the percentage of minority pupils;
3. the number of minority pupils for whom minority isolation was prevented or reduced (Reduction Score 1); and
4. the percentage of minority pupils for whom minority isolation was prevented or reduced (Reduction Score 2).

The first two components of the statistical score "count" all minority children in the district. The third and fourth components of the stat score "count" only minority children in schools affected by the district's desegregation plan.

ESAA administrative procedures for calculating the first two stat score components assume that the reported total and minority enrollment is that of the district as a whole. In Region II, however, two alternative procedures were used to calculate the stat scores assigned to New York City and one Community School District.

The first procedure was developed to allocate children in the New York City public schools between the Central Board and its CSDs. This procedure assigns the New York City Central Board a score on the basis of the characteristics of the enrollment of the areas served by the proposed New York City Central Board project.

The second procedure calculates the stat score components of the one CSD, which received children from other CSDs, by using the procedures designed for interdistrict transfer plans funded under another ESAA program. This process assigns stat score points on the basis of the total enrollment and minority enrollment in the sending districts and in the receiving district. This second procedure increased the CSD's stat score by 22 points.¹²

The two reduction scores are based upon counts of minority children in schools affected by the plan. Region II ESAA program officers carefully cross-referenced schools against the submitted plans to ensure that districts did not inflate their reduction scores by claiming schools not currently affected by the plan. This was an extremely difficult task for program officers

working with the New York City plan. Almost all of the CSDs used the complex New York City desegregation plan to qualify for funding. The process of determining which schools were affected by the New York City plan has taken up to 8 days of ESAA program officers' time.

Although ESAA regulations allow districts with any type of plan to project the effective net reduction that will result from the plan, projected enrollments that differ drastically from the past year enrollments are most typical of magnet school districts. Basic applicants in Region II proposing magnet school projects, therefore, were more likely than other Region II Basic project applicants to receive points on the two reduction scores based on projected changes in the racial/ethnic composition of school enrollment that may not actually have been achieved in the project year.

The Basic application scoring system assigns a higher number of points to the third and fourth components of the stat score than to the first two stat score components. The intent of the point system is that the measures of reduction of minority isolation will have a greater weight in determining the total statistical score. In Region II, the weighting system had little impact on the relative size of the total stat scores received by either Basic or Pilot applicants. Figure 2.15 shows the median and maximum scores for each stat score component and the median and maximum total stat scores received by the Region II Basic and Pilot funded and non-funded applicants. There was little difference in the median and maximum statistical score components received by funded and non-funded districts. The differences in the total statistical score received by funded and non-funded districts were due to small differences in the distribution of scores on each of the components of the statistical score (see Figure A.11).¹³

The score components measuring effective net reduction were unimportant in the Region II grant competition. The highest scores were achieved on the first two components of the stat score. The lowest scores were achieved on the third and fourth components. Forty-five percent of the Basic applicants received no points on Reduction Score 1, and 65 percent of the Basic applicants received no points on Reduction Score 2. Among Pilot applicants, 67.8 percent received no points on Reduction Score 1 and 81.3 percent received no points on Reduction Score 2.

FIGURE 2.15

MEDIAN AND MAXIMUM SCORES FOR STATISTICAL SCORE
COMPONENTS FOR FY 77 BASIC AND PILOT APPLICANTS^{a/}

Statistical Score	Maximum Points	BASIC ^{b/}		PILOT ^{c/}		
		Median Score ^{d/} (Maximum) ^{e/}		Maximum Points	Median Score (Maximum)	
		Funded	Non- funded		Funded	Non- funded
Minority Enrollment	15.0	9.0 (13)	7.0 (15)	15.0	12.0 (15)	11.0 (15)
Minority Percent	15.0	11.5 (15)	11.5 (15)	15.0	15.0 (15)	12.0 (15)
Reduction Score 1	30.0	2.0 (7)	0.5 (4)	15.0	1.0 (3)	0.0 (1)
Reduction Score 2	20.0	0.0 (8)	0.0 (11)	10.0	0.0 (2)	0.0 (0)
Total Score	80.0	21.0 (32)	23.0 (28)	55.0	28.0 (30)	23.0 (27)

a/ "Minority Enrollment" is the number of points received for the number of minority students enrolled.

"Minority Percent" is the number of points received for the percent of minority students enrolled.

"Reduction Score 1" is the number of points received for net reduction in the number of minority students attending minority isolated schools of different degrees.

"Reduction Score 2" is the number of points received for net reduction in the percent of minority students attending minority isolated schools of different degrees.

b/ 40 Basic applicants.

c/ 16 Pilot applicants.

d/ In a distribution of variables which are of interval type with an odd number of cases, the median is the score of the middle case; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

e/ Numbers in parentheses are the maximum scores received.

See Appendix B for sources and definitions.

The relationship between the two reduction score components and the total statistical score received by Region II Basic applicants illustrates a common error in the design of scoring systems. As noted above, the higher weights assigned to the reduction score components were intended to ensure that those components determined the value of the total statistical score. It was, however, the components with the greatest variation, those measuring the number and percent minority, that determined the total statistical score values received by both the Basic and Pilot applicants in Region II. In the Basic program, 67 percent of the variation in the total statistical score was explained by variation in the two components measuring the number and percent of minority pupils ($r^2 = .669$, significant at the .01 level). In the Pilot program where there was even less variation in the reduction score components received by Region II applicants, 89 percent of the variation in the total statistical score was explained by variation in the two components measuring the number and percent of minority pupils ($r^2 = .891$, significant at the .01 level).

Quality Score in Region II

A quality score is assigned to each applicant based on the review of a non-Federal panel which rates 5 (6 for the Pilot) sections of the application narrative:

- needs assessment;
- objectives;
- activities;
- resource management;
- evaluation; and
- replicability (Pilot applicants only.)

This section assesses the validity and reliability of the quality scoring process and describes four factors that may determine the quality score an application receives.

Validity of the Quality Scoring Process. The validity of the quality score criteria as a selection mechanism has never been established. Neither this study nor any other ESAA evaluation has collected the data required to assess whether districts that receive a quality score in the

fundable range in the Basic and Pilot competition are capable of implementing the proposed project as described in the application or of achieving the objectives of the Act. The case study component of this study found that all of the case study projects experienced some implementation problems. Two first year projects that were also magnet school projects experienced several problems including difficulty in recruiting pupils and staff.

Two features of the quality review process that may decrease its validity are the requirement that the administrative budget review follow the panel review and the timing of the grant process. The administrative budget review may result in the deletion of project components that were the basis of the quality score assigned to the application. A later section of this chapter will show that the administrative budget review in FY 77 did result in reduction in the scope of the proposed projects if not in the number and nature of project components. In one case, ESAA program officers found that the applicant that received the highest score in the first submission of the New Jersey Basic competition proposed no authorized activities and they required the district to resubmit its application in order to be funded.

When the review panel assigns scores to the proposed projects, the projects frequently include pre-project training or selection of participants during the summer months. However, many grants are not awarded until late summer or the beginning of the school year. As a result, many of these proposed activities do not take place as planned.

Reliability of the Quality Scoring Process. The reliability of the ESAA quality scoring process can be measured in two ways. First, reliability can be measured by the extent of agreement among panel members on the score assigned to each Basic or Pilot application and second, by the extent of agreement among panel members that an application should be assigned a score in the fundable range.

In the Basic competition, the first submission scoring process was more reliable than the second submission scoring process. When reliability was measured by the median difference between the highest and lowest score assigned to each application, the median difference of scores assigned to Basic applicants was 3.8 in the first

submission and 11.5 in the second submission (see Figure 2.16). Similarly, the median difference in the application scores assigned to Pilot applicants was 3.5 in the first submission and 4.3 in the second submission.

When reliability of the scoring process was measured by agreement among panel members on whether an applicant should receive a score in the fundable range there was disagreement on only one Basic application in the first submission and on four Basic applications in the second submission. There were no disagreements among panel members on any Pilot applications.

The difference in the reliability of the two submissions can be traced to the different conditions under which panel members scored the applications. In the first submission, review panel members met in the DHEW Regional Office building. ESAA program officers monitored the panels, suggesting that panel members review the relationship of the project to needs related to the objectives of the Act. In addition, ESAA program officers reviewed panel comments, identified any areas in which panel members disagreed on the quality of the application and encouraged the panel to discuss and resolve differences. While ESAA program officers did not attempt to directly influence panel judgment, this process promoted agreement among panel members. Second submission applications, however, were reviewed by panelists in their homes, without opportunity to discuss their views with other panel members. The greater variability in scores was the result of panel isolation.

Factors Influencing the Value of the Quality Score.

This analysis examined five factors believed to influence the quality score an application received in the Basic or Pilot grant competition: (1) the criteria used to measure application quality and the relative weight assigned to each criterion by the ESAA regulations and the technical review forms; (2) instructions given to the review panel members by ESAA program officers; (3) skill of the application writers; (4) information and technical assistance provided to application writers by ESAA program officers; and (5) the characteristics of districts that submit an application. Only the first four factors were, however, related to the quality scores received by Basic and Pilot applicants in Region II.

FIGURE 2.16

MEDIAN DIFFERENCE BETWEEN HIGHEST AND LOWEST TOTAL
QUALITY SCORE ASSIGNED BY INDIVIDUAL PANEL
REVIEW MEMBERS FY 77

<u>BASIC</u>	<u>Median Difference Between Highest and Lowest Total Score</u>
All Applications: <u>a/</u> First Submission	3.8
Resubmitted Applications: <u>b/</u> First Submission	4.0
Resubmission	11.5
<u>PILOT</u>	
All Applications: <u>c/</u> First Submission	3.5
Resubmitted Applications: <u>d/</u> First Submission	3.3
Resubmission	4.3
<u>a/</u> 40 applicants.	
<u>b/</u> 24 applicants.	
<u>c/</u> 16 applicants.	
<u>d/</u> 13 applicants.	

See Appendix B for sources and definitions.

Quality scores are assigned on the basis of the criteria and the weighted scoring system developed in the first year of ESAA when the program placed a high priority on projects which had the primary goal of increasing minority achievement. The regulations and the technical review forms defining the scoring have three major limitations that could result in the funding of projects unrelated to the objectives of the Act.

First, the language of the review criteria in the regulations and the technical review forms is more appropriate for evaluation of compensatory education components than for evaluation of components that would reduce racial tension or conflict or promote interracial understanding or interaction. For example, the application allocates three points for both specification of measurable objectives and measurable growth. It is easy to measure objectives for achievement and cognitive components, but far more difficult to measure changes in participant behavior or attitudes, which might be the objective of an affective component. Second, the scoring system places a higher weight on the quality of proposed activities than on the documentation of needs related to the objectives of the Act. Each application can receive only six points for documenting needs related to the objectives of the Act but can receive up to 21 points for project activities. Third, neither the criteria nor the point system instructs the panel how to assign quality scores to projects with multiple components. The panel assigns a score for each component of the application narrative such as needs assessment or objectives, not to the project components such as compensatory reading or intergroup relations. Because ESAA program officers delete components not related to the objectives of the Act in the administrative budget review (this process will be discussed in later sections of this chapter), an applicant may receive a high score for components not included in the funded project.

In Region II, ESAA program officers instructed the panel in application review techniques to ensure that only those applications which documented needs related to the objectives of the Act were funded. Panel training, therefore, had two major objectives:

- to instruct the panel members on how to determine whether the needs assessment section of the application documented needs related to the objectives of the Act; and
- to instruct the panel members on how to relate all other components of the quality score to the score assigned to the needs assessment component of the application.

To achieve these objectives, review panel members were instructed to determine whether Basic projects served schools affected by the district's desegregation plan and whether the objectives and activities components of the application reflected the magnitude of the impact of the plan on each school receiving services. To facilitate assessment of the impact of the plan on each school served by the project, ESAA program officers furnished each review panel member with a list of schools affected by the plan for each application. They also gave each panel member a copy of the Act and regulations defining the objectives of the Basic and Pilot programs and the authorized activities that may be used to achieve these objectives. The reviewers of Pilot applications were required to determine if the needs assessment section of the application documented needs resulting from minority isolation and whether the activities and objectives section of the application described an innovative attempt to remedy problems resulting from minority isolation.

Two analyses of the quality scores assigned to each component of the application narrative demonstrate the success of panel training. First, applications that received total quality scores not in the fundable range had lower median scores on all components of the quality score than applications that received total quality scores in the fundable range (see Figure 2.17). Second, there were significant interrelationships among scores assigned to each component as demonstrated by the high rank order correlations among the components of the quality score and between each component of the quality score and the total score.¹⁴

The comments of the review panel members also demonstrated the influence of the needs assessment component of the application on the score assigned to each component of the application narrative. Panel comments justifying assignment of a score not in the fundable range cited the failure of the application to document needs related to the objectives of the Act or the failure of the

FIGURE 2.17

MEDIAN PANEL REVIEW SCORES BY COMPONENT FY 77^{a/}

A. BASIC APPLICATIONS

Panel Review Score Component	Maximum Points	First Submission (40 Applicants)		Resubmission b/ (18 Applicants)	
		Scores in Fundable Range (13)	Scores not in Fundable Range (27)	Scores in Fundable Range (13)	Scores not in Fundable Range (5)
Needs Assessment.	6.0	5.33	1.66	4.67	1.25
Objectives.....	6.0	4.46	1.63	4.00	1.06
Activities.....	21.0	16.67	7.53	16.89	6.67
Resource Management.....	6.0	4.25	2.04	4.67	1.67
Evaluation.....	6.0	4.44	2.00	4.39	2.00
Total.....	45.0	37.00	14.66	35.33	18.50

B. PILOT APPLICATIONS

Panel Review Score Component	Maximum Points	First Submission (16 Applicants)		Resubmission c/ (11 Applicants)	
		Scores in Fundable Range (9)	Scores not in Fundable Range (7)	Scores in Fundable Range (6)	Scores not in Fundable Range (5)
Needs Assessment.	6.0	5.67	1.73	5.83	3.13
Objectives.....	6.0	4.67	1.60	5.72	2.67
Activities.....	21.0	19.33	7.83	20.33	11.33
Resource Management.....	6.0	5.58	2.67	5.92	3.53
Evaluation.....	6.0	5.25	1.93	5.83	3.00
Replicability....	8.0	7.00	1.83	7.50	4.00
Total.....	53.0	46.66	18.66	48.83	29.00

a/ In a distribution of variables which are of interval type with an odd number of cases, the median is the score of the middle case; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

b/ There were 24 resubmitted Basic applications of which 16 received scores in the fundable range and 8 received scores not in the fundable range. The statistics in this table for quality score components are based on the applications for which quality score component data were available.

c/ There were 13 Pilot resubmitted applications of which 8 received scores in the fundable range and 5 received a score not in the fundable range. The statistics in this table for quality score components are based on the applications for which quality score component data were available.

See Appendix B for sources and definitions.

application to relate the proposed project to needs related to the objectives of the Act. Panel comments on applications that achieved a less than perfect score in the fundable range cited more limited technical problems of the proposed project design, such as the absence of behavioral objectives for one or more components or an inadequate evaluation design.

The success of a Basic or Pilot application in obtaining a score in the fundable range was related to the skill of the application developer in relating the proposed project to needs related to the objectives of the Act. The skilled application developer fully documented the district's needs related to the objectives of the Act and referenced the project components and the services to be provided to each school to the documented needs. For example, a successful Basic application requesting assistance for a compensatory reading project documented achievement disparities between non-minority and minority pupils. Although the disparities existed before desegregation, the district argued that desegregation resulted in disparities in achievement within a single school or classroom. Minority children would be relegated to the lowest achieving and status groups within the school or classroom and might suffer a loss of self-esteem. The application narrative also demonstrated that the proposed project would provide the minority children with compensatory education required to reduce the achievement disparities between non-minority and minority children in a desegregated classroom setting. Similarly, a successful magnet school application identified a reservoir of non-minority children that could be attracted into predominately minority schools and presented evidence that the parents of the identified children had indicated that they would enroll their children in the public schools if the ESAA project described in the application was funded.

Technical assistance is provided by ESAA program officers prior to the first and the resubmitted application reviews. In both time periods, ESAA administrative procedures authorize ESAA program officers to provide assistance only on a by-request basis. In Region II, technical assistance provided by program officers may have enhanced the likelihood of success of applications submitted by experienced ESAA application developers.

Interviews with the staff of 25 school districts found that application writers who had been successful in ESAA grant competitions were more likely to receive information and assistance from ESAA program officers than less successful application writers. Thus, successful application developers reported that they considered information and technical assistance provided by ESAA program officers to be essential to the success of the application in the grant competition. They had detected changes in the emphasis of the ESAA program over the years and believed that review panel members were instructed to review applications according to the current year's emphasis. Successful application developers, therefore, carefully scrutinized the language of ESAA program officers to identify the key words and phrases that reflected the program's emphasis. For example, successful Basic application developers were aware of the fact that the application in FY 77 had to document the relationship of the proposed project to the district's desegregation plan.

Unsuccessful applicants, many of whom were first time applicants, were less likely to report they had benefitted from technical assistance provided by ESAA program officers. Staff of a district in the second year of implementing a required plan reported they did not benefit from technical assistance because they were not familiar enough with the ESAA Basic or Pilot programs to know what questions to ask. This district received a Basic grant only after resubmission in which it achieved a quality score above the minimum required for a Basic grant. An application of a district implementing a court ordered plan and applying for the first time did not obtain a quality score in the fundable range. The district staff responsible for application preparation reported that they did not know technical assistance was available.

District desegregation related or demographic characteristics or past experience with the ESAA program were statistically unrelated to the success of an application in achieving a quality score in the fundable range. (See Figure A.13).¹⁵ In Region II, there were no statistically significant relationships between whether an application received a quality score in the fundable range and desegregation related characteristics such as the type of plan, or the level of racial isolation. Similarly, the success of an application in achieving a quality score in the fundable range was statistically unrelated to other demographic characteristics of the applicant, including the size of the minority population,

the size of the special need populations (economically and educationally disadvantaged children), or the metropolitan status of the district (see Figure A.13).

The analysis of the relationship between districts with prior experience and receipt of a quality score in the fundable range in FY 77 found that districts with less experience were less likely to receive a score in the fundable range than those districts with more prior experience. However, the relationship between districts' prior ESAA experience and receipt of a quality score in the fundable range was not statistically significant (see Figure A.13). While many districts that received a score in the fundable range had three or more years of experience with the ESAA program, the analysis of the award rates of districts classified by prior experience has shown that prior experience alone was not an indicator of a district's ability to develop an application that received a score in the fundable range. One reason for this finding is the ESAA resubmit process. Those districts with little prior ESAA experience sometimes achieved a score in the fundable range during the second panel review. However, the scores received by districts with less ESAA experience were among the lowest quality scores received by Region II districts receiving a score in the fundable range.

Content of the Funded Projects

The first part of this section describes the content of the funded projects. The second part of this section assesses the extent to which the content of the funded projects was affected by the Act and regulations and other features of ESAA program operations.

Components of the Funded Projects

The Act and regulations are sufficiently broad so that Basic projects need not be directly related to desegregation. Similarly, Pilot projects are not necessarily innovative attempts to meet the special needs of minority isolated students. In Region II, the Basic and Pilot projects were primarily designed to provide educational services to pupils. The projects included one or more of eight components:

1. Compensatory Reading: Remedial reading labs, computer assisted instruction, tutoring, small group instruction assisted by teacher aides, individualized reading instruction.
2. Compensatory Math: Remedial programs, math labs, individualized instruction, computer assisted instruction, tutoring, small group instruction.
3. Intergroup Relations/Cultural Heritage: Multi-cultural programs, ethnic studies units, student exchange programs, academic discussions, group discussions, social activities, parent meetings, interaction events, student tutoring, serving of "ethnic" foods, group "rap sessions" about school problems.
4. Guidance and Counseling: Individual counseling, group counseling, parent counseling, psychological testing, attendance, home counseling, speech therapy.

5. Enrichment: Gifted and talented programs, establishment of enrichment centers, classroom learning centers (not remedial in purpose), student designed programs of instruction, out-of-classroom experiences, lunch-hour programs, after-school programs, outreach to parents.
6. Pre-Kindergarten/Kindergarten: Full-day classes, individualized instruction, teacher aides in Kindergarten, pre-K classes, language development.
7. Staff Development: Group discussions, workshops, seminars, lectures, field trips, sensitivity training, formal course work, teacher exchange programs.
8. Bilingual: Activities for increasing achievement of non-English dominant students, components for assisting non-English dominant students in maintaining their original language, assisting English dominant language students in learning other languages prevalent in their community.

In addition, many projects had a ninth "other" component that combined the elements of these eight components.

In Region II, almost all ESAA projects provided compensatory services (see Figure 2.18). In FY 77, more than 80 percent of the funded Basic projects and all of the funded Pilot projects included a compensatory reading component. Among the funded Basic projects the next most frequent components were compensatory mathematics and intergroup relations. Among the funded Pilot projects the next most frequent component was compensatory mathematics. In addition, components classified as "other" were included in almost half the funded Pilot projects. In at least two of the seven funded Pilot projects, the "other" component involved compensatory activities tied to enrichment programs such as an outdoor education project.

FIGURE 2.18

PERCENT OF ALL FUNDED PROJECTS WITH SPECIFIC PROJECT COMPONENTS FY77

BASIC APPLICATIONS ^{a/}

<u>Component</u>	Percent of Funded Projects with Component
Compensatory Reading	80.6
Compensatory Mathematics	65.4
Guidance and Counseling	11.5
Intergroup Relations	50.0
Staff Development	19.2
Kindergarten	19.2
Enrichment	34.6
Bilingual	15.4
Other	34.6

PILOT APPLICATIONS ^{b/}

<u>Component</u>	Percent of Funded Projects with Component
Compensatory Reading	100.0
Compensatory Mathematics	57.1
Guidance and Counseling	14.3
Intergroup Relations	14.3
Staff Development	14.3
Kindergarten	14.3
Enrichment	28.6
Bilingual	0
Other	42.9

a/ N = 26

b/ N = 7

Impact on the Content of Funded Projects

The content of local projects are only indirectly influenced by ESAA program operations. The Act and the regulations define broad project goals and a list of authorized activities that may be used to achieve these goals. The administrative procedures define the process that should be used to determine if project components and activities are authorized by the Act and regulations, and the process that should be used to assess the relative merit of applications. In Region II, neither the Act and regulations nor any other feature of ESAA program operations was found to influence the content of funded projects.

The Act and Regulations

The Act and regulations allow districts flexibility in meeting local needs related to the objectives of the legislation. Basic projects may use any of the 12 activities to meet needs arising from implementation of a required or non-required desegregation plan. Pilot projects may use any of the 12 activities in innovative projects to meet needs of minority isolated children. The Act does not authorize use of ESAA funds to support busing to reduce racial isolation or to supplant local funds. The prohibition against supplanting has been interpreted by program officials to mean that no component of a required plan may be supported by ESAA.

Case studies of six districts that submitted a Basic or Pilot application in FY 77 found that district staff felt that neither the Act nor the regulations had limited their ability to use ESAA funds to meet district needs. These needs, however, were not necessarily desegregation related. Few district staff, other than the ESAA project director, could identify desegregation related needs in their district or relate the ESAA project to desegregation related needs.

Other Features of ESAA Program Operations

Nominally, four other features of ESAA program operations affect the content of projects funded by ESAA: (1) technical assistance; (2) the panel review and the

resubmit process; (3) the administrative budget review; and (4) the Grant and Procurement Management Division (GPM) review. The analyses described below found that these features of ESAA administration were unrelated to project content in Region II.

Technical assistance in Region II was unrelated to the components or activities included in project applications. Neither the ESAA project officers nor district staff regarded project design as an appropriate subject for technical assistance sessions. One reason that project design was not raised in technical assistance sessions was that most applicants proposed only slightly modified versions of projects funded in FY 76. The two districts proposing new magnet school components, proposed the new components in addition to components funded by the FY 76 project.

The analysis of the relationship of project content to the panel review and resubmit process found that project content influenced the outcomes of the panel process. With one exception, the applicants proposing magnet schools received relatively high quality scores in the first review cycle. Clearly, the panels felt that the magnet school projects offered the most promise for achieving the objectives of the Basic project. The next chapter will show that the assessment was not correct for magnet school projects in Region II. The first year magnet school projects were subject to severe implementation problems that limited their ability to reduce minority isolation or even to provide services to children.

There was, however, no evidence that panel comments provided to district staff during the resubmit process influenced the selection of project components or activities. Interviews with district staff revealed that they regarded the resubmit process as a mere repackaging of the application to include language desired by the review panel. Examination of the resubmitted applications confirmed that applicants responded to panel comments by revising the needs assessment to better demonstrate the relationship of the project activities to the objectives of the Act.

The administrative budget review performed by ESAA project officers and the GPM review also had little effect on project content. The next section shows that the administrative budget review often reduced the number of

pupils or schools served by the project. However, this process merely reduced the size of the project, not the range of components or activities funded by ESAA. GPM review had little impact because GPM staff in Region II did not review the substance of the ESAA project applications.

Dollar Value of the Funded Projects

The dollar value of the grant a district receives is determined by a five step process:

1. Eligible applicants that have received quality and total scores in the fundable range are ranked within state and program category.
2. ESAA program officers review project budgets to eliminate the costs of unauthorized activities. The administrative budget review results in recommended funding levels for each application scoring in the fundable range. The recommended funding levels are usually lower in dollar values than the grants requested by applicants.
3. The recommended grants are reviewed by Washington EEOP officers. Washington EEOP may change the recommended funding levels, but usually does not.
4. Applicants are fully funded within state and program category until available funds are exhausted.
5. GPM and ESAA officials review the final project budgets with the grantees and prepare the grant award documents.

No more than two-thirds of the available funds may be obligated after the first application review cycle. The remaining third of the state allocation is obligated following the second submission and review. The last district funded receives only the funds remaining in the state and program category if funds are not available to fully fund the project. Remaining eligible applicants with scores in the fundable range may be funded following reapportionment, when states with more funds than eligible grantees return funds for reallocation to states with more eligible applicants than available funds.

The first part of this section describes the distribution of Basic and Pilot grant funds among the funded districts classified by the characteristics used in the first section of this chapter and assesses the extent to which ESAA program operations as a whole have influenced the described distributions. The second part of this section assesses the impact of individual features of ESAA program operations, including application scoring and fund allocation, the administrative budget review and the preparation of the grant award document, on the dollar value of the funded projects.

Grant Size and District Characteristics

Although ESAA does not provide a formula for determining the size of the grant a district may receive, ESAA administrative procedures direct program officers to use the administrative budget review to ensure that the size of the grant the district receives reflects the magnitude of district need related to the objectives of the Act as described in the needs assessment component of the application. This section assesses the extent to which the variability in grant size reflects desegregation related characteristics and other district characteristics.

Desegregation Related Characteristics

In Region II, the size of the Basic grant a district received in FY 77 was statistically associated with two desegregation related characteristics: (1) the number of minority children experiencing effective net reduction; and (2) recency of plan implementation (see Figure A.14).¹⁶ In addition, districts with the largest Basic grants were also likely to have required plans or non-required magnet school plans. The size of the Pilot grants, on the other hand, was not related to any desegregation related characteristics (see Figures 2.19 and A.14).¹⁷

These data show that the program was effectively targeting the largest grants on districts with the most acute desegregation related needs in the Region. This does not mean, however, that grant size was related to the relative magnitude of desegregation need in the country as a whole. Boston and Jefferson County (Louisville) which

FIGURE 2.19

TOTAL GRANT DOLLARS RECEIVED BY SELECTED DISTRICT CHARACTERISTICS

A. BASIC						
<u>Funded Districts^{a/}</u>	<u>Grant Dollars Received</u>	<u>Plan Type</u>	<u>Year of Implementation</u>	<u>Pupil Racial Isolation Index</u>	<u>Index of Effective Net Reduction of Minority Isolation</u>	
					<u>Number</u>	<u>Percent</u>
Median ^{b/}	\$ 492,273		1968	6.1	113.0	0.3
B #1	2,700,000	Non-Required (Magnet)	1977	19.6	636.0	4.4
B #2	1,577,794	Required	1975	47.6	1,179.0	0.0
B #3	1,100,269	Required	1975	26.1	434.0	7.3
B #4	972,136	Non-Required	1964	4.4	1,041.0	30.8
B #5	880,972	Required (Magnet)	1976	41.7	378.0	0.0
B #6	838,419	Non-Required (Magnet)	1976	4.7	166.0	5.9
B #7	822,704	Non-Required	1960	11.4	0.0	0.0
B #8	820,606	Non-Required	1963	2.6	704.0	38.1
B #9	785,738	Non-Required (Magnet)	1971	34.9	0.0	0.0
B #10	731,612	Non-Required	1975	0.5	686.0	4.4
B #11	712,853	Non-Required	1960	26.9	0.0	0.0
B #12	499,788	Non-Required	1969	4.3	103.0	0.0
B #13	498,587	Required	1970	1.2	78.0	11.7
B #14	485,959	Non-Required	1977	1.0	0.0	0.0
B #15	425,258	Non-Required	1963	0.7	32.0	0.0
B #16	424,089	Non-Required	1960	7.5	0.0	0.0
B #17	410,431	Non-Required	1960	1.7	30.0	8.8
B #18	407,038	Non-Required	1960	24.2	0.0	0.0
B #19	386,753	Non-Required	1960	51.3	0.0	0.0
B #20	342,951	Non-Required	1968	2.3	0.0	0.0
B #21	323,756	Non-Required	1968	0.9	196.0	8.9
B #22	302,278	Required	1976	24.0	370.0	31.5
B #23	260,033	Required	1962	1.1	174.0	13.0
B #24	178,826	Non-Required	1968	18.3	122.0	1.2
B #25	150,858	Non-Required	1964	29.3	453.0	0.5
B #26	80,680	Non-Required	1973	3.5	0.0	0.0
B. PILOT						
<u>Funded Districts^{a/}</u>	<u>Grant Dollars Received</u>	<u>Plan Type</u>	<u>Year of Implementation</u>	<u>Pupil Racial Isolation Index</u>	<u>Index of Effective Net Reduction of Minority Isolation</u>	
					<u>Number</u>	<u>Percent</u>
Median ^{b/}	\$ 777,568		1971	19.6	174.0	0.5
P #1	1,003,205	Non-Required	1963	42.8	0.0	0.0
P #2	983,859	Non-Required (Magnet)	1977	19.6	636.0	4.3
P #3	784,831	Non-Required	1975	0.5	686.0	4.4
P #4	777,568	Non-Required	1964	29.3	453.0	0.5
P #5	721,519	Non-Required	1976	18.3	0.0	0.0
P #6	335,243	Non-Required (Magnet)	1971	34.9	0.0	0.0
P #7	153,582	Required	1962	1.1	174.0	13.0

a/ Districts ranked by Total Grant Dollars Received in FY 77.

b/ In a distribution of variables which are of interval type with an odd number of cases, the median is the score of the middle case; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

See Appendix B for sources and definitions.

have implemented large scale desegregation plans had much higher indices of effective net reduction (13,042.8 and 29.3 percent and 18,879 and 65.6 percent, respectively). Yet, Boston received only 1.3 million dollars and Jefferson County received only 447,916 dollars from the Basic program.

Of all Region II grants, the grants awarded to Basic applicants proposing magnet school projects appear least related to the magnitude of desegregation related need. This finding was based upon a comparison of the four magnet school projects in Region II funded by the Basic program with the two projects in Region II funded by the ESAA Magnet School program. The Magnet School program was a more rigorous competition because the funding criteria emphasized the reassignment of children and the competition was nationwide. The two Region II districts awarded ESAA Magnet School program grants (Buffalo, New York received \$641,964 and Montclair, New Jersey received \$492,513) received smaller grants than the four magnet school projects funded by the Basic program. The Region II ESAA Basic program, therefore, provided larger grants than the ESAA Magnet School program for magnet school projects with less promise of achieving desegregation in the schools affected by the plan.

Not only were the indices of effective net reduction low in Region II given the size of the grants, the index values in at least one case overestimated the extent of desegregation that was occurring. The district that received the 2.7 million dollar grant proposed to increase non-minority enrollment in the proposed magnet schools from only 1.5 to 2.0 percent (from 29 to 38 children).

Other District Characteristics

The size of the Basic grants received by districts in Region II was unrelated to other demographic characteristics such as the size of the minority enrollment or experience with the ESAA program prior to FY 77. The size of the Pilot grants, on the other hand, was strongly, statistically associated with the percent minority enrollment and the percent economically disadvantaged children in the district (see Figure A.14). Experience with the ESAA program prior to FY 77 was unrelated to the size of the Pilot grant districts received.

Impact of ESAA Program Operations on the Dollar Value of the Funded Projects

While the Act and regulations require that proposed project budgets reflect the magnitude of district needs related to the objectives of the legislation, they do not provide a formula for determining the size of the grant a district may receive. Because there are no guidelines, ESAA program officers do not provide district staff technical assistance that will enable them to determine the size of the grant they may expect to receive.

As a result, in Region II, the funds requested by Basic and Pilot applicants exceeded the dollars available for grants in the state program category. In New York, Basic applicants requested 362 percent of the state allocation; Pilot applicants requested 1,023 percent of the state allocation. New Jersey Basic applicants requested 207 percent of the state allocation; New Jersey Pilot applicants requested 150 percent of the state allocation.

At the conclusion of the application review process, the median Basic grant was 54 percent of the dollars initially requested. The median Pilot grant was 64 percent of the dollars initially requested. This section assesses the impact of application scoring and fund allocation, the administrative budget review, and preparation of the grant award document on the difference between the grant amount requested and the grant amount awarded at the end of the grant competition.

Application Scoring and Fund Allocation

ESAA procedures separate the application scoring process from the determination of the size of the grant award in two ways. First, the review panels have no authority to recommend changes to the proposed project budget. Second, the administrative budget review performed by ESAA program officers takes place after the quality review. The review panels, therefore, are assessing the quality of projects based on the proposed level of resources; the level of resources may be changed significantly during the administrative budget review.

The quality rating, therefore, has little impact on the budgets of projects funded in the initial submission. For resubmitted applications, however, panel review comments may influence applicants to modify their budgets in response to panel comments that a component be added, deleted, or changed.

ESAA fund allocation procedures can potentially influence the size of the grant a district receives in two ways. First, the state apportionment and national allocation in Basic and Pilot program categories determine the largest grant a district may receive. Second, since applications are funded in rank order of total score, the last district funded may receive only the dollars left in the program category. This may be only a fraction of the total budget requested.

In the Region II FY 77 grant competitions none of the New York Basic projects or the New Jersey Basic or Pilot project awards were affected by the fund allocation process. In each of these grant competitions, the sum of the total funded grants was less than the state allocations.¹⁸ In the New York Pilot competition, however, one applicant received only 10 percent of its initial budget request because of insufficient funds in the state after all higher ranking Pilot applications were funded.

Administrative Budget Review

The administrative budget review is the most important and direct tool available to ESAA program officers for influencing the size of the grant award. After the quality review, ESAA program officers review the application narrative to determine if the proposed budget contains only costs supporting authorized activities, and that the budgeted costs justified in the narrative are not excessive and do not supplant state and local funds. In Region II, ESAA program officers also reviewed services that were proposed for each school to determine if the magnitude of the proposed services reflected the magnitude of the needs related to the objectives of the Act. In reviewing Basic project budgets, they deleted services or eliminated components they believed were meeting needs that existed prior to the implementation of the plan. This review results in the recommended dollar value of the grant, which is then submitted to Washington EEOP staff.

Of the three ESAA administrative procedures that may influence the size of the grant award received by ESAA projects, the administrative budget review is the most important. Although both the quality review and the administrative budget review resulted in modifications to project budgets, the administrative budget review most consistently reduced the project budgets and resulted in larger reductions than the quality review process. In the Basic program, ESAA program officers reduced project budgets by eliminating services to schools not affected by a district's plan. The reductions to Pilot project budgets were considerably smaller than those in the Basic program. Pilot application developers could readily demonstrate the relationship between the size of the requested grant and district needs resulting from minority isolation.

Although the administrative budget review greatly reduced the project budgets, the grants received by Region II districts were very high given the extent of desegregation. As shown in the preceding section, Basic applicants in Region II experiencing little desegregation received grants larger than Boston or Jefferson County. The four magnet school projects funded by the Basic program received larger grants than Region II districts funded by the ESAA Magnet School program.

The GPM Review

Once ESAA program officers determine a recommended grant award, three other ESAA administrative procedures may influence the size of the grant actually received by the district. First, Washington EEOP staff review the recommended grant amount and may, as a result, change the dollar value of the grant. In FY 77, no changes were made to the size of the grants awarded to Region II districts by Washington EEOP staff. Second, GPM officials review the budget to ensure that the proposed costs are allowable and authorized by the Act and regulations. In Region II, GPM officials relied on ESAA program officers to perform this review and only infrequently influenced the size of the funded grant. Third, ESAA program officers negotiate a final budget with the district once the decision to award a Basic or Pilot grant is made. In Region II, these negotiations took place within the framework of the recommended grant award size. Although individual budget items were changed as a result of these negotiations, the total grant sizes were not reduced.

Official Date of the Grant Award

Three ESAA program operations affect the timing of the grant award. They are application review and fund allocation, the eligibility review, and the preparation of the grant award document. This section describes the dates of official notification of the grant award and the influence of these program operations on the release of funds to districts.

Dates of Official Notification of the Grant Award

All districts wishing to compete for ESAA Basic and Pilot funds for FY 77 were required to submit their applications by January 17, 1977. In Region II, the earliest Basic or Pilot grant was awarded on August 5, 1977. Of the 33 projects funded in FY 77, 13 were officially notified of their award during August. The remaining projects were officially notified in September. Although ESAA regulations do not require that grants be awarded before the end of the fiscal year (September 30), the receipt of a grant in late summer or early fall is at least an inconvenience to the district staff responsible for project implementation.

Impact of ESAA Program Operations on the Official Date of the Grant Award

Application Scoring and Fund Allocation

The submission cycle in which an application receives a score in the fundable range should affect its official notification of funding. In FY 77, 32 percent of the Basic applications and 56 percent of the Pilot applications were in the fundable range after the first cycle was completed on March 8, 1977. After the second cycle (May 27, 1977), 65 percent of the Basic applications and 94 percent of the Pilot applications had scores in the fundable range. Because of delays due to the eligibility and GPM review in Region II, the cycle in which districts received a score in the fundable range had little impact on the timing of the grant award.

The Eligibility Review

ESAA administrative procedures require OCR to complete the plan eligibility review 2 days after the application is filed. There is no limitation on the time that may be used to complete the civil rights compliance review. However, negotiated waivers must be submitted for Congressional review 2 weeks before the end of the fiscal year. In order to allow sufficient time for the appeal and waiver negotiation process, Washington OCR suggested that Regional offices complete initial findings of ineligibility no later than July 15, 1977, 6 months after submission of the application.

In Region II, there was no difference between the length of time necessary to determine plan eligibility and the time required to determine compliance with other civil rights standards. Figure 2.20 shows the length of time required for the eligibility review. Most Basic and Pilot applicants that obtained a score above the minimum level required for funding were not certified by OCR as eligible until 2 to 6 months after the completion of the application review cycle. In FY 77, determinations of plan eligibility were made as late as August 7, 1977; final decisions on civil rights compliance were made as late as September 29, 1977.

In FY 77, these delays were caused by three factors:

1. a DHEW decision to use the 1976 OCR survey as the major data source for the civil rights compliance review. Most districts in Region II did not submit these OCR forms until late April, 2 months after the beginning of the application review process;
2. the magnitude of the statistical analysis required to identify evidence of ESAA eligibility. OCR program officers had to review the new data describing each district's schools and classrooms; and
3. the lengthy hearing and negotiation process required to determine district eligibility or to negotiate a plan to remedy past discrimination.

The time required for the eligibility review is not totally the responsibility of OCR. Districts may have attempted to delay the review process, hoping that a

FIGURE 2.20

NUMBER OF FY77 FUNDED DISTRICTS FOR WHICH OCR
ELIGIBILITY REVIEW WAS COMPLETED BY MONTH^{a/}

Grant Category and Submission Cycle in Which Applicant Received <u>Fundable Score</u>	Number of Districts By Month OCR Completed the Eligibility Review					
	<u>April</u>	<u>May</u>	<u>June</u>	<u>July</u>	<u>August</u>	<u>September</u>
<u>BASIC</u>						
First Submission (March)		2	2	2		6
Resubmission (May)			9			5
<u>PILOT</u>						
First Submission (March)						2
Resubmission (May)					2	3

^{a/} The best available measure of the completion of the eligibility review was the month EEOP released grant funds to the district.

See Appendix B for sources and definitions.

waiver negotiated under the pressure of the end of the fiscal year would require less effort and changes on their part.

The GPM Review

Following each panel review cycle, lists of ranked applications by state and program category are sent to Washington EEOP. Washington officials coordinate the findings of OCR and issue decision memos allowing the release of funds to successful applicants. Before a district can begin spending funds, GPM officials review the proposed project budget to see that it conforms to the fiscal and administrative requirements of the general provisions for programs administered by DHEW and USOE. GPM then officially releases the funds to the district and signs the grant award document.

Although GPM reviews had no impact on the content and dollar value of the funded projects, this final step in the grant competition delayed many of the Basic and Pilot grant awards for several months. Figure 2.21 shows the month in which decision memos releasing ESAA Basic or Pilot funds to successful applicants were signed and the month in which the grant award was signed. Although decision memos authorizing release of funds to 50 percent of the Basic funded districts were released in May and June, GPM prepared no grant awards before August.

The longest delays between the release of funds and the preparation of the grant document occurred when applicants were successful in obtaining a minimum quality score, were not affected by fiscal hold, and were certified as eligible for ESAA early in the summer. The shortest time between the decision memos and the grant preparation occurred when decision memos were signed in September. Projects included in the September decision memos were the New Jersey Pilot projects funded after completion of the national reallocation and the Basic and Pilot projects in the CSDs funded after negotiation of a waiver of ineligibility. The relatively short time required for grant preparation in September was a product of the requirement that ESAA grants be signed by the end of the fiscal year.

There was, however, no apparent reason why some grant awards took months to prepare and others only weeks or days, as the level of effort required was the same. The

FIGURE 2.21

NUMBER OF DISTRICTS BY MONTH EEOP RELEASED FUNDS
AND MONTH GRANT SIGNED BY GPM IN FY 77

<u>BASICa/</u>	Number of Districts By Month Grant Signed by GPM				
<u>Month EEOP Released Funds</u>	<u>May</u>	<u>June</u>	<u>July</u>	<u>August</u>	<u>September</u>
April					
May				2	
June				8	3
July				2	
August					
September					11

<u>PILOTb/</u>	Month Grant Signed by GPM				
<u>Month EEOP Released Funds</u>	<u>May</u>	<u>June</u>	<u>July</u>	<u>August</u>	<u>September</u>
April					
May					
June					
July					
August				1	1
September					5

a/ N = 26 funded districts

b/ N = 7 funded districts

See Appendix B for sources and definitions.

delays in preparation of the grants authorized by the May, June, and July decision memos reflected the low priority assigned to preparation of ESAA grants by Region II GPM.

Because ESAA grants are made for 1 year and are scheduled to begin implementation during the fall school term, receipt of the grants in the summer or after the school year begins in the fall may seriously impair the ability of a school district to implement the proposed project.¹⁹ However, the Act, regulations, and administrative procedures in Region II did not place any special priority on timely preparation of the grant awards.

Summary

This chapter has presented an assessment of the influence of ESAA program operations on the selection, content and dollar value of the funded projects and the official release of the grant funds in Region II for FY 77. The major findings were:

- The Act and regulations place no special priority on the type or recency of desegregation plans nor do they limit the number of years following plan implementation for which a district may receive a grant. In Region II, few applicant districts evidenced desegregation related needs. For example:
 - one-half of the districts applying for Basic or Pilot grants did not show any evidence of reduction in minority isolation as measured by the ESAA program criteria; and
 - one-half of the districts applying for and receiving ESAA funds had plans that had been in place a decade or more.
- In Region II, however, there was also no evidence that districts with desegregation related needs failed to apply. On the other hand, the neediest districts were not always funded.
- Region II districts with large minority enrollments and those that had received a Basic or Pilot grant in past years, applied for Basic or Pilot grants at higher rates than those with small minority enrollments or less prior experience with the ESAA program. Once districts applied, minority enrollment and prior experience with the Basic and Pilot programs was unrelated to whether a district received a Basic or Pilot grant.
- In Region II, ESAA program officers believed that ESAA administrative guidelines prohibited program officers from soliciting applications or providing technical

assistance unless requested by district staff. However, since few Region II districts were desegregating, there was little evidence that needy districts failed to apply because they did not receive technical assistance. The ESAA program could increase the likelihood that first-time and newly desegregating applicants receive a quality score in the fundable range by targeting technical assistance on such applicants. By encouraging districts to carefully review desegregation related needs, ESAA program officers might encourage district staff to select project components and activities related to the objectives of the Act.

- Applicants found to be out of compliance with ESAA civil rights requirements made the necessary changes to receive a waiver of ineligibility.
- The OCR eligibility review has not always prevented districts with ineligible desegregation plans from receiving a Basic or Pilot grant in Region II.
- The ESAA application review criteria assign a higher number of points to statistical criteria measuring district need than to quality criteria measuring the merit of the project. In both the Basic and Pilot program, the score an application received on the statistical criteria determined the within state ranking of the application. In the Pilot program, the magnitude of the statistical score determined which of the applicants that met ESAA plan and civil rights compliance criteria were funded. In the Basic program, however, the effect of the statistical score on the within state ranking of the application had little if any practical significance. All Basic applicants in Region II were funded (regardless of the magnitude of their statistical score) if the district met the ESAA plan and civil rights compliance criteria and the application achieved a quality score in the fundable range.

- The Act and regulations place no priority on project components and activities related to desegregation related needs. In Region II, 80 percent of the funded Basic projects and all of the funded Pilot projects included compensatory components.
- The review panels awarded the highest scores to Basic projects proposing the implementation of magnet schools. These projects proposed unrealistic objectives given their predominately minority pupil enrollment and the 1-year duration of the grant.
- The administrative budget review is the only ESAA administrative procedure that ESAA program officers may use to directly influence the content and dollar value of the funded projects. In Region II, nearly all of the reductions in Basic or Pilot project budgets were the result of the administrative budget review.
- Despite the large reduction in project budgets resulting from the administrative budget review, the grants awarded to most Region II districts were very large given the nature and extent of desegregation. Although the reduction in project budgets reduced the number of schools or pupils served by the project, it had little effect on the number or nature of the project components.
- The Act and regulations do not require that the grant competition be completed before the end of each fiscal year. However, districts which received ESAA funding late in the summer or after the school year had begun frequently experienced implementation problems. OCR review and GPM grant preparation caused delays in the official release of grant funds in FY 77. No FY 77 Basic or Pilot award in Region II was officially released until August; 60 percent of the FY 77 grants were officially released in September.

FOOTNOTES

- 1 This chapter describes those districts that applied for a Basic or Pilot grant in FY 77 in Region II and received a grant based on the Basic or Pilot application. Because of administrative decisions made by Washington EEOP, six of these districts were funded under the ESAA Special grant category for districts with non-required plans. One of these districts has a required plan.
- 2 Figure A.1 in Appendix A shows the percent of Basic and Pilot applications received from FY 73 to FY 77 and the percentage of the minority children enrolled in applicant and non-applicant districts. In Region II, less than two-thirds of the Basic applicants and less than one-half of the Pilot applicants have received a grant in FY 73 through FY 77. Figure A.2 in Appendix A shows the final status of applicants in each year.
- 3 For a more complete discussion of the analysis procedure see page B-16 of Appendix B.
- 4 In this analysis, a non-required plan for the non-applicant districts includes districts that have filed assurances with the DHEW, Office for Civil Rights. These districts need not have a formal plan. In addition, some districts may have an entirely minority enrollment and could not achieve eligibility without attracting some nonminority children into the district's schools. However, given the large proportion of districts with non-required plans in both the non-applicant and applicant groups, it is unlikely that such districts influenced the outcome of the analysis.
- 5 Five of the districts with required plans were in New Jersey; four of the districts with required plans were in New York. A Federal court has ordered desegregation of a small number of New York City high schools. Because the New York City Central Board submits an open enrollment plan as evidence of ESAA eligibility, New York City is classified as a district with a non-required plan.

- 6 Two New York districts with required plans applied for and received ESAA Emergency Special grants. Another New York district with a required plan received a Special grant when its Basic application was not funded because it did not receive a quality score in the fundable range.
- 7 Figures A.3 and A.4 in Appendix A show the statistical significance between the expected and actual number of Region II districts with selected desegregation related and other characteristics that applied for and received an ESAA Basic or Pilot grant in FY 77.
- 8 The racial composition and ESAA funding history of districts with decreased racial isolation is listed in Figures A.5 and A.6 in Appendix A.
- 9 The racial composition and ESAA funding history of districts with increased racial isolation is listed in Figures A.7 and A.8 in Appendix A.
- 10 ESAA civil rights compliance standards are listed in the regulations under CFR 185.43(a)-(e). They include prohibitions against:
 - a. transfers of resources to discriminatory non-public schools;
 - b. demotion or dismissal of minority group personnel;
 - c. classroom segregation; and
 - d. discrimination against children.

The conditions of eligibility are considered to be enforced during the entire period assistance is made.

- 11 The Spearman rank order correlations between the total statistical, total quality and total score by state, program category, and submission are shown in Figure A.9 in Appendix A. Figure A.10 displays the total statistical, total quality and total scores received by each applicant as well as the size and racial/ethnic composition of the district enrollment.
- 12 Region II ESAA staff were directed to use this procedure for calculating the stat score by Washington EEOP officials. A similar process was used to calculate the stat score for an upstate New York

district whose application was transferred to Washington and funded by another ESAA program category. Similar treatment was given to other Basic applicants proposing inter-district transfer plans in other Regions.

- 13 The statistical score components received by each applicant are listed in Figure A.11 in Appendix A.
- 14 The Spearman rank order correlations between the quality score components and the total quality score are shown in Figure A.12 in Appendix A.
- 15 Figure A.13 in Appendix A shows the statistical significance of differences between the expected and actual number of applicants with selected desegregation related and other demographic characteristics receiving a score in the fundable range.
- 16 For a description of the analysis procedures, see page B-17 of Appendix B. The measures of association between grant size and selected district characteristics are shown in Figure A.14 in Appendix A.
- 17 The desegregation related characteristics of districts that applied and did not receive a Basic or Pilot grant is provided in Figure A.15 of Appendix A.
- 18 One reason that sufficient funds were available could be that six projects in New York were funded under the ESAA Special grant category. However, the sum of the Basic and Special grant awards in Region II did not exceed the New York State Basic allocation.
- 19 Case studies of eight Region II Basic and Pilot projects found that all the projects experienced some delays in implementation that were attributable, at least in part, to the timing of the grant award. Districts that received a grant for the first time and received the award in late August or September experienced the most severe implementation problems.

CHAPTER 3. PROJECT MONITORING AND TECHNICAL ASSISTANCE

This chapter describes the two ESAA administrative procedures that affected the implementation of the FY 76 funded projects:

- project monitoring - the set of activities designed to determine if the funded project is in compliance with the conditions of the grant award; and
- post award technical assistance - the set of activities designed to provide staff of the funded project with information that may facilitate project implementation or enhance project effectiveness.

The first section of this chapter describes the limited data available to program officers to determine if projects were being implemented as approved and if districts were in compliance with the other requirements of the grant award. The second section examines the impact of project monitoring in Region II. The third section shows how the current regulations and administrative procedures affected technical assistance.

Available Data on FY 76 Funded Projects

In order for program officers to monitor projects for all aspects of compliance, they need to have accurate and reliable information about the way the project should be implemented. At the very least they need to know:

- the project components funded and project objectives;
- the number of students, staff, and community members to be served by the project;
- data on the racial/ethnic identity of participants;
- the final number and identity of schools served in each component; and

- the final figures for project expenditures for staff salaries, materials, and other costs, by component.

The primary source for this information should be what is generally referred to as the "scope of work." The scope of work has three parts. The first part is the narrative section of the application which describes the objectives and activities for each programmatic component. The second part is the approved budget. The third part is the schedule of implementation.

The Scope of Work

At the end of the awards process, a reliable scope of work which presented key information about project components was not available for all grants. During the FY 76 project year, program officers kept a copy of the approved narrative, the final budget, and the final schedule of implementation for the 37 funded projects in a case file. HEW staff, outside the ESAA program who contracted for this study, thought that the case files were the definitive source for project descriptions. However, information from a telephone survey of the funded districts showed that a large proportion of significant data was inaccurate, missing or inaccessible from the documents. These data included: the number and objectives of components, the number of staff to be supported by each component, the number of project participants by component, the funds allocated to each component, and the correct schedule of implementation.

For at least five grants, the telephone survey provided information that a seemingly funded component was not, in fact, part of the project. Most of these components had been removed in administrative budget reviews but their deletion was not noted in the narrative and may have only been referenced by crossed-out items in the budget. In one instance, the telephone survey found one district in which a component was added with only a reference to two staff positions in the budget. Although the grantee had been told to file a revised narrative describing the program for the new component, only the program officer who participated in the budget negotiations was aware that the revised narrative would be forthcoming. Figure 3.1 shows the number and percent of districts with each of the eight components, as confirmed by the 37 ESAA project directors.

FIGURE 3.1

PERCENT OF ALL FUNDED FY 76 PROPOSALS
WITH SPECIFIC PROJECT COMPONENTS

BASIC APPLICATIONS^{a/}

<u>Component</u>	<u>Percent of Proposals with Component</u>
Compensatory Reading	83.3
Compensatory Mathematics	45.8
Guidance and Counseling	12.5
Intergroup Relations	34.8
Staff Development	29.2
Kindergarten	16.7
Enrichment	25.0
Bilingual	16.7
Other	20.0

PILOT APPLICATIONS^{b/}

<u>Component</u>	<u>Percent of Proposals with Component</u>
Compensatory Reading	70.0
Compensatory Mathematics	70.0
Guidance and Counseling	10.0
Intergroup Relations	20.0
Staff Development	20.0
Kindergarten	10.0
Enrichment	40.0
Bilingual	10.0
Other	10.0

^{a/} N = 24

^{b/} N = 10

Applications were not available
for 3 Basic funded projects.

See Appendix B for sources and definitions.

The telephone survey was also needed to provide accurate information about the number of project participants. Although the ESAA application requires that applicants provide projected numbers of project participants, it does not require them to reference the number of participants to project components. Additionally, applicants need not supply new numbers of participants after budgets are cut or applications are revised and resubmitted. In FY 76, the median budget cut for Pilot projects was 53 percent; for Basic projects the median budget cut was 48 percent. Budget cuts of this magnitude usually result in either a reduction in numbers of participants served or increased teaching loads for staff in classroom components. The telephone survey confirmed that the reductions in the budgets led to decreased numbers of participants.

An example of the unreliability of information in the scope of work was provided by one FY 76 grantee which was funded for \$625,130 after an initial budget request of \$1,791,652. Its request for 31 resource teachers was funded at 11; the requested 62 educational assistants were reduced to 11. The total number of budgeted staff positions was to be 25 according to the scope of work. Other information available in the scope of work indicated that 1,950 students in six eligible schools were to be served. However, the ESAA project director contacted in the phone survey reported that the project was serving 1,600 students in four schools and that the number of staff was 31.

Project monitors who had to rely on the scope of work to determine the funds allocated to separate components were faced with the task of relating the budget document to the project narrative. This was not an easy task. For example, Figure 3.2 shows a budget for a small Pilot project designed to provide compensatory services in reading and math. The budget displayed total expenditures for salaries and fringe benefits for all teachers and aides, and funds for supplies including texts, materials, equipment leasing, and rent. It was not apparent from the budget or the application narrative that accompanied it that four of the teachers were reading specialists and two were math teachers. Although the New York City Central Board Basic budget was more complex, it caused the same difficulty for monitors. For ease in administration, each component was treated as a separate project. For example, Easing Student Adjustment was a comprehensive component funded at \$2,122,846. The grant supported 58 professional and 29 other staff in a program aimed at reducing racial

FIGURE 3.2

A SAMPLE ESAA BUDGET:

ESAA PILOT 1976-77 BUDGET

<u>Code</u>				
110 00 00	Salary - Clerical	\$2,000.		
	Hourly rate			
120 00 00	Audit	\$1,000.		
130 00 00	Office Expenses	\$ 950.	\$ 3,950.00	
213 01 00	Salaries - Teachers			
	6 teachers - full time			
	Average salary \$12,425		\$ 74,550.00	
216 00 00	Salaries - Aides			
	2 full time & 1 half time		\$ 11,250.00	
220 00 00	Textbooks	\$ 600.		
230 00 00	Audio Visual	\$ 200.		
240 00 00	Teaching Supplies	\$ 910.	\$ 1,710.00	
250 00 00	Workshops - 3 staff		\$ 900.00	
	members \$150 per wk.			
	x 2 weeks			
250 02 00	Rental - 3 Computer		\$ 1,773.00	
	terminals \$591 each			
	<u>Benefits - Teachers</u>			
810 00 66	F.I.C.A. 5.85% x \$74,550	\$4,358.		
810 00 67	Pension 9% x \$74,550	\$6,705.		
820 01 71	BC/BS 6 x 12 x \$50	\$3,600.		
820 01 71	Dental 6 x 12 x \$14	\$1,008.	\$ 15,671.00	
	<u>Benefits - Aides</u>			
810 00 66	F.I.C.A. 5.85% x \$11,250	\$ 658.		
810 00 67	Pension 7% x \$11,250	\$ 787.		
820 00 71	BC/BS 3 x 12 x \$50	\$1,800.	\$ 3,245.00	
	<u>Benefits - Workshops</u>			
810 00 66	F.I.C.A. 5.85% x \$900	\$ 53.		
810 00 67	Pension 9% x \$900	\$ 81.	\$ 134.00	
	<u>Benefits - Clerical</u>			
810 00 66	F.I.C.A. 5.85% x \$2,000	\$ 117.	\$ 117.00	
TOTAL BUDGET			<u>\$113,300.00</u>	

See Appendix B for sources and definitions. 101

tensions at desegregated high schools operating under the New York City Open Enrollment plan. Although staff were assigned to separate programs within the component, the budget document presented only a cost breakdown in terms of instructional positions, services, materials, and supplies.

Project monitors relied on the final section of the scope of work, the schedule of implementation, to provide the correct dates of major project events. Chapter 2 showed that most ESAA grants were not officially released to the districts until late August or September of the year in which they were to be implemented. When the grants were signed, their schedules were automatically revised to reflect that day as their official starting date. Districts were not allowed to use the grant to pay for scheduled activities that might have occurred before the grant was made official. However, the districts were seldom required to submit a new schedule of implementation. Therefore, in many cases project monitors could not expect the existing schedule to be an accurate reflection of what should have been implemented on what date. A project which scheduled activities for the summer months was forced to reschedule them after the opening of school. As a result, throughout the year the grantee often did not meet the milestones established in the application schedule.

Project Monitoring

Purpose

Project monitoring is the process by which Federal officials should be able to determine whether projects are in compliance with the terms and conditions of the grant award. ESAA grants may be terminated or suspended if it is determined that the grantee has been failing to carry out its project according to those terms and conditions. In Region II, however, for reasons discussed below, project monitoring had a negligible impact on FY 76 funded projects.

The monitoring procedures carried out in Region II were not always reliable or efficient in detecting compliance or implementation problems. Case studies of eight projects showed that each experienced one or more of five implementation problems in either recruitment and retention of staff, recruitment or selection of pupils, receipt of materials and supplies, delays in component

implementation, or failure to spend the entire grant award.¹

This section describes the participants, procedures and sanctions available for project monitoring.

Participants

In Region II, ESAA program officers carried the major burden of project monitoring. Program manuals say that the grantee may expect that the project will be visited by OCR representatives who check for compliance with civil rights requirements. In fact, only ESAA program officers made site visits during the project year. An OCR official in Washington² explained that OCR does not have the staff to monitor or to institute the administrative proceedings necessary to withdraw a grant during the 1-year period if a violation were found. OCR also believed that its monitoring of ESAA projects would not serve a useful purpose.

According to ESAA administrative manuals, GPM has two responsibilities during the grant period: monitoring projects for possible fiscal violations³ and allowing extensions of the grant period. In Region II, the GPM officer generally relied upon the program officers for finding evidence of fiscal violations and usually took program officers' recommendations in requests for grant extensions.

The ESAA program office assigns project monitoring tasks to a team of program officers. Region II program officers responsible for monitoring ESAA Basic and Pilot grants were assigned to one of two teams. Each team was responsible for monitoring in one of the two states in the Region. Two bilingual program officers assumed monitoring duties for bilingual projects in either state. The assignment of other program officers to a team or project depended on considerations such as the need to avoid having program officers monitor projects in districts where they had once been employed or program officers' geographic preference. Within each team, program officers interchangeably monitored projects. A majority of the projects were visited by more than one member of each team.

In spite of the team approach, the program office was inconsistent in assigning monitoring duties to the same team or to individuals within the teams. When the pressure of other ESAA administrative activities became

heavy during the awards process for the FY 77 grants, program officers who were not assigned to monitor Basic or Pilot grants were assigned monitoring duties for those grants. During the 1976-77 grant year, two program officers recommended that a grant be withdrawn from one case study district because recruiting practices for the magnet school had increased racial isolation. A later site visit report filed by another program officer presented no evidence that the second program officer who was not a member of the team was aware that the project was not accomplishing its objectives or that noncompliance might have been a problem.

Procedures

Program officers did not target monitoring on those districts likely to experience compliance problems. Program officers were required to make two site visits to each funded project, to report on their findings and to monitor quarterly and final reports and budget modification and extension requests submitted by the districts. Neither the site visit procedures nor report monitoring provided a systematic means of identifying districts with compliance or implementation problems in Region II.

Considerable variation existed in the content and mode of project monitoring. An example of the variation in monitoring was in the approach to monitoring for compliance with civil rights assurances. In Region II, some program officers monitored projects for compliance with all civil rights assurances, some for compliance as it affected the projects, and some monitored only to determine if the project had been implemented as described in the final version of the funded application.

Much of the variation in project monitoring was due to the inadequacy of site visit procedures and reporting forms.

Site Visit Schedules

In Region II, the burden of other ESAA duties prevented the scheduling of site visits at times when it would have been easiest to perceive implementation problems. According to the program officers' Manual for Developmental/Technical Assistance to LEAs,⁴ one of the two mandatory site visits should follow submission of the first Program Progress Report (usually September 30) and

the other should follow the submission of the second quarterly report (usually January 30).

The first site visit was usually made early in the school year. If the project was not funded until late August or September, it was not fully implemented at the time when program officers made their first visit. As a result, first site visit reports frequently contained comments such as the following:

As can be seen from the attachments, the project's operations (both Basic and Pilot) appear to be going in the right direction. However, since schools have been open less than three weeks, actual data is not available or (is) meaningless due to the infancy of problems.

or

More information with substance will be forthcoming as the program gets rolling.

In addition to the responsibility of monitoring projects, program officers must also administer the grant competition for next year's projects. Applications for FY 77 grants were due January 17, 1977. As a result, the second site visit, usually made after program officers had completed their part in the awards process, could have been as late as June of the school year. One report, filed June 10, 1977, contained this comment:

ESAA has increased and/or improved the attendance at (School A) until the last 2 weeks when students were evidently out looking for summer jobs.

The site visits were also subject to manipulation by district officials. In most cases, program officers informed the districts in advance of the dates of their site visits. This procedure gave the district ample time to present the best view of the project during the visit. One site visit report described a program officer's final visit with the superintendent of schools which was interrupted by a telephone call from the city mayor who wanted to tell the program officer how important ESAA was in the district.

Site Visit Report Form

The site visit reporting form is not designed to provide information on which to judge whether funded activities are being implemented as set forth in the scope of work. The questions on the form fall into three categories: compliance with civil rights terms and conditions of the grant award, program officers' judgments of project administration practices, and project potential for replicability.

Figure 3.3 is an example of the kind of information the site visit form elicits. Program officers tried to address the questions raised but the realities of project implementation in Region II did not mesh with the design of the form. Question 6 asks if parents of participants have been given preference in hiring for ESAA funded activities. In all districts in Region II where hiring is regulated by collective bargaining agreements, program officers supplied a standardized response. In general, unless they detected a major area of noncompliance, project officers responded to civil rights questions (5, 10, 12) with a comment similar to "No Such Evidence." Questions about a staff's knowledge of ESAA and project replicability were subjective judgments which depended on the program officer's familiarity with the project and its staff.

In addition to using the required forms, some Region II program officers wrote extensive memos documenting evidence of noncompliance as they saw it. An example is this excerpt from an attachment from a site visit report dated May 4, 1977:

I had serious concerns about the supposedly individualized programs in the reading and math labs. Children do have individualized folders with contracts that are completed at (their) own pace. However, prescriptive and diagnostic materials are prepared for groups -- top, average, low. Each group is earmarked with stickers -- red, blue, and yellow. Students know which group they are in for assignments and stations. They also know they are good, average, or dumb...I met with the teachers and principal concerning (this)...I think perhaps that changes will be made following my visit, however, this definitely needs follow up.

EMERGENCY SCHOOL AID ACT

SITE REVIEW OF PROGRAM OPERATION - SCHOOL DISTRICTS

NAME OF GRANTEE	GRANT NUMBER
NAME OF REVIEWER	REVIEW DATE
NAME OF SCHOOL REVIEWED	

NAMES AND POSITIONS OF PERSONS WHO WERE MAIN SOURCES OF INFORMATION:

ACTIVITIES AUTHORIZED FOR ESAA (as listed in Section 707 of the Emergency School Aid Act)

- | | |
|---|---|
| 1. ☐ SPECIAL REMEDIAL SERVICES | 7. ☐ CAREER EDUCATION |
| 2. ☐ PROFESSIONAL STAFF | 8. ☐ INNOVATIVE INTERRACIAL ACTIVITIES |
| 3. ☐ TEACHER AIDES | 9. ☐ COMMUNITY ACTIVITIES |
| 4. ☐ IN-SERVICE TEACHER TRAINING | 10. ☐ ADMINISTRATIVE SERVICES |
| 5. ☐ GUIDANCE AND COUNSELING | 11. ☐ PLANNING AND EVALUATION |
| 6. ☐ CURRICULUM DEVELOPMENT | 12. ☐ REPAIR AND REMODELING |

In each school that is reviewed, the monitoring team should determine which of the above twelve authorized activities are being conducted. Those being conducted should be checked off in the boxes provided. (See Section 185.12 of the regulations for a more detailed explanation of each activity.) The following questions should be answered for the activities which make up the ESAA program in the school under review. One of these forms should then be filled in for each school reviewed. The questions are designed to assist the monitor in determining whether or not the funded activities are being implemented as set forth in the approved application.

1. DO THE PERSONS CONDUCTING THE PROJECT HAVE ADEQUATE KNOWLEDGE AND UNDERSTANDING OF THE PURPOSES OF ESAA?
(Cite evidence of the relationship of the project activities to the purposes of ESAA)

2. DO THE ACTIVITIES SUPPLEMENT THE REGULAR PROGRAM? (Cite evidence)

4. IS THERE EVIDENCE OF EDUCATIONAL ACHIEVEMENT IN READING AND MATHEMATICS WHICH HAS BEEN BROUGHT ABOUT BY THE PROJECT ACTIVITIES? (Briefly describe evidence, such as control groups, testing procedures, etc.)

5. ARE GROUPING PROCEDURES CARRIED OUT IN SUCH A WAY AS TO PREVENT MINORITY GROUP ISOLATION OR REGREGATION? (If not, explain in detail)

6. IN THE RECRUITING, HIRING, AND TRAINING OF TEACHER AIDES, WAS PREFERENCE GIVEN TO PARENTS OF CHILDREN ATTENDING SCHOOLS ASSISTED BY ESAA FUNDS? (If not, explain)

7. ARE THE ACTIVITIES EFFECTIVELY ADMINISTERED TO DELIVER THE SERVICES AGREED UPON IN THE APPLICATION? (If not, explain)

FIGURE 3.3 (Cont.)

8. DO THE PROJECT ACTIVITIES HAVE IMPACT ON OTHER RELATED PROGRAMS, SUCH AS TITLES I, III, AND VII OF THE ACT? (Explain)

9. DO THE PROJECT ACTIVITIES HAVE IMPACT ON THE COMMUNITY? (Explain)

10. IS THERE ANY EVIDENCE OF DISCRIMINATORY FACULTY ASSIGNMENT OR UNWARRANTED DISMISSAL OF MINORITY STAFF MEMBERS? (Describe)

11. WOULD YOU RECOMMEND THIS PROJECT FOR REPLICATION? WHY OR WHY NOT?

12. IS THERE EVIDENCE OF ANY DISCRIMINATORY POLICY OR PRACTICE DIRECTED AGAINST MINORITY PUPILS, SUCH AS POLICIES CONCERNING EXPULSION OR EXTRA-CURRICULAR ACTIVITIES? (If so, explain)

FIGURE 3.3 (Cont.)

DOES THE ADVISORY COMMITTEE APPEAR TO MAKE SUBSTANTIAL CONTRIBUTIONS TO THE SUCCESS OF THE PROJECT?

14. ARE THE GRANTEE'S PROCEDURES FOR FINANCIAL MANAGEMENT ADEQUATE? (Cite evidence)

15. ARE THE GRANTEE'S GENERAL ADMINISTRATIVE PROCEDURES RELATED TO MATTERS SUCH AS PERSONNEL, REPORTS, SUPERVISION OF AND NEED FOR CONSULTANTS, ADEQUATE? (Cite evidence)

16. IF YOU FEEL IT APPROPRIATE, WRITE A BRIEF PARAGRAPH SUMMARIZING THE ANSWERS TO THE ABOVE QUESTIONS WHICH WERE THE MOST RELEVANT TO THIS PROJECT AND INCLUDING ANY ADDITIONAL OBSERVATIONS WHICH YOU FEEL SHOULD BE NOTED

Other program officers established individual monitoring objectives for each project and structured their visits to provide answers to the questions posed. The program officers who used them have established these categories of monitoring objectives:

staffing

orientation

administrative procedures

financial management

target population identification

consultants

training program evaluation

project objectives

replication

coordination with other projects funded
by a Federal grant

cooperation with ESAA funded NPO
and Advisory Committee

The questions within each category were written individually for each project. A sample of monitoring objectives and questions for a district implementing its fourth Basic grant is shown in Figure 3.4.

Program Progress Reports (PPRs)

PPRs are not designed to provide accurate and thorough information about project implementation processes. While the nature of the awards process might not result in a completely accurate scope of work, PPRs could supply quarterly updates about components, participants, and staff. However, PPRs (a sample is shown in Figure 3.5) ask districts to compare the planned and actual starting and completion dates of what the district considers to be major events. The report does not ask the district to supply information about activities implemented. Because many schedules of implementation were out of date due to the date on which the grant was signed, districts concentrated on reasons for delay, not on what they had accomplished.

FIGURE 3.4

SAMPLE OF PROPOSED MONITORING OBJECTIVES
(Excerpt)

1. To determine what staff orientation and/or pre-service training activities have been conducted:
 - a. Staff awareness of ESAA purposes.
 - b. Staff familiarization with the particular program they are working on and its objectives.
 - c. Staff participation in pre-service training.
2. To determine the degree to which required project staff has been hired:
 - a. Percentage of completion.
 - b. Why any position(s) not yet filled, when position(s) will be filled, impact on project implementation.
 - c. Position descriptions and qualifications of individuals hired.
 - d. Selection criteria, and selection official(s)
 - e. Names and ethnic composition of staff.
3. To determine the extent to which specific target populations have been identified for each component:
 - a. Criteria for selection and person(s) responsible for identification and selection.
 - b. Number of participants in each component.
 - c. Ethnic breakdowns.
 - d. Reasons for non-completion, impact, and expected date of completion.
4. Documents to be requested:
 - a. Revised schedule of implementation.
 - b. School calendar.
 - c. Project personnel roster.
 - d. Advisory committee list (if different from application).

See Appendix B for sources and definitions.

FIGURE 3.5

APPROVED

C. 12 1977

EQUAL EDUCATIONAL OPPORTUNITY

TYPE OF GRANT

☒ BASIC ☐ BILINGUAL

PILOT PROJECT

METRO

NONPROFIT
PROJECT☐ TITLE IV, ESEA

QUARTERLY PROGRAM PROGRESS REPORT

REPORT

NUMBER

1

2

X

3

4

5

DATE

ENDING

NAME AND ADDRESS OF GRANTEE

SIGNATURE OF AUTHORIZED REPRESENTATIVE

GRANT NUMBER

SUBMISSION DATE OF REPORT

January 25, 1977

MAJOR EVENT (a)	STARTING DATE (b)		COMPLETION DATE (c)		ACTUAL ACCOMPLISHMENTS (d)	DIFFERENCE BETWEEN PROPOSED AND ACTUAL ACCOMPLISHMENTS (e)
	PLANNED	ACTUAL	PLANNED	ACTUAL		
COMPONENT III MATH REMEDIATION						
A. Phase I-Summer Remediation	A.	Completed described in Report #1.			A. Final Report being finalized.	A. -
B. Phase I Summer Intergroup Relations	B.	Completed described in Report #1.			B. -	B. -
C. Phase II Regular Year Supplemental Instruction (Gr. 5-6)	Oct	Oct	An On Going Activity.		C. Phase III 1. Students are receiving supplemental math instruction. 2. Parents have been notified. 3. Supplemental Teachers have been hired.	C. -
D. Math Parents Handbook	Sept	-	Dec	Feb	D. First Draft completed.	

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District personnel were given few instructions on preparation of the PPRs. As a result, there was considerable variation among districts on the content of what was presented. For example, on the first PPR submitted for the FY 76 project year, one district reported that it had performed the actions required to "close out" the 75-76 ESAA project budget. In its second PPR, this district did not report that it had accomplished any major events that concerned students until November.

Program officers frequently asked districts to resubmit the PPRs to add more detail about activities that occurred in the project because PPRs contained few details. For example, one first year district implementing a magnet school project began by submitting voluminous attachments with its PPRs. Program officers found evidence of increased minority isolation in the reports. Subsequent PPRs submitted by this district refrained from reporting numbers or the racial identification of students. As another example, one district, in its first two PPRs, reported that one of its testing objectives for one component were not being met. These two reports observed that objectives established for the components might have been set too high. The subsequent PPRs reported by the district dropped all mention of the objective in question.

Program officers also commonly requested minutes of Advisory Committee meetings. This information was perceived to be necessary so that program officers knew that the grantee was meeting its obligation to keep the Advisory Committee continuously informed of project implementation processes.

Financial Reports

Financial reports, filed quarterly, should provide grantees and project monitors with information about the rate at which the projects are spending funds. If these reports were tied to components, the rate of spending could provide an indication of implementation problems. Like the budgets, however, financial reports are unrelated to components and do not provide a mechanism to determine if funds are being spent according to the grant contract. After the end of the grant year, the Region II program office did not know how many districts had returned unspent funds to the United States Treasury. The Senior Program Officer in Region II suggested that the only way to obtain this information was a telephone survey of the FY 76 funded districts.

The fact that a district is not spending its grant might be an indication of its inability to implement its project as described in the approved application. In fact, 26 of the 37 projects either returned funds to the Treasury or applied for an extension of time to spend grant funds. As Figure 3.6 shows, the sums returned or extended would have provided a total of 39.9 teachers' salaries in New Jersey and 26.3 in New York.

Financial reports have even less relevance for Community School Districts in New York City. ESAA financial reports for New York City CSDs are prepared in the business offices of the New York City Central Board. Program officers in Region II reported that financial reports frequently arrived much later than the dates on which they were due because of the sluggishness of centralized bookkeeping and purchasing procedures. Program officers also reported that it was not unusual for the New York City Central Board-prepared final financial reports, due 90 days after the conclusion of the grant period, to be filed more than a year after the grant period had expired.

Final Reports

Final reports, which include the project evaluation, are a possible source of information about project implementation problems. However, an analysis of five final reports filed by case study districts showed that the reports provided little information that could be meaningful to either Federal program officers, district level personnel, or the community. In addition, the regulations require that each ESAA applicant must be considered without reference to any previous grant. Therefore, program officers stated they made no use of the final report other than noting that the district had complied with its obligation to file it.

This section adopts the procedures used by Tallmadge and Horst⁵ to analyze the components of the five case study evaluations. The section will first describe the procedures used to evaluate compensatory (cognitive) components and then the procedures used to evaluate affective components.

An analysis of the evaluation of compensatory components in four of the case studies showed serious weaknesses in the design and execution. The four case studies with compensatory components are compared on the five categories suggested by Tallmadge and Horst in Figure 3.7.

FIGURE 3.6

TOTAL DOLLARS RETURNED OR EXTENDED EXPRESSED AS AVERAGE
TEACHER'S SALARY - FY 76 FUNDED DISTRICTS

<u>Funded Districts by State</u>	<u>Total Dollars Returned or Extended</u>	<u>Average Teacher Salary, FY 76^{a/}</u>	<u>Total Dollars/ Average Salary</u>
<u>BASIC</u>			
New Jersey	\$516,467	\$14,500	35.1
New York	345,648	17,100	20.2
<u>PILOT</u>			
New Jersey	69,000	14,500	4.8
New York	107,361	17,100	6.1

a/ New Jersey = mean salary
New York = median salary

See Appendix B for sources and definitions.

FIGURE 3.7

EVALUATIONS FOR COMPENSATORY COMPONENTS

Funded Basic Districts	Description of Treatment Group	Comparison Group Description	Evaluation Model Displayed	Confounding Influences	EVALUATION OUTCOMES Statistical Significance	Size of Gains in Respect to National Norms
B#1	1) <u>Students enrolled in grades 2-6:</u> No number of participants identified No selection criteria identified No treatment described	None described	t ratio between predicted and actual growth on pre- and post-administration of a standardized test		Reading and Math: Each grade level showed actual post-test scores significantly higher than expected; minority group students showed significant improvement at the end of the project year ^{a/}	None described
	2) <u>Students enrolled in Kindergarten</u> 100 participating students Small group instruction 2-5 times/week, 30-minute periods	None described	t ratio between expected and actual growth on pre- and post-tests		Language Development: Statistically significant gains found	
B#2	No number of project participants presented; students in treatment, 1 period/day for 4-month period	None described	Pre- and post-grade equivalents in February and May administration of standardized test	Small number of pupils who took pre- and post-tests Grade equivalent scores	None presented	None described
B#3	1,200 students enrolled in daily 1-period classes Selected on the basis of score on Language Assessment Battery Test	None described	t ratio between pre- and post-test mean raw scores	No pre- and post-scores for the same participants No names available for tests No measure of expected growth	Significance shown between pre- and post-test mean raw scores	None described
B#4	Students who tested 1 year below grade level in reading and math No number of participants presented	None described	t ratio between predicted and actual post-test mean scores on a standardized test	Selection of some participants on the basis of pre-test Questionable comparability between pre- and post-test scores (no total score conversions available for different tests) Questionable validity of t tests on small groups (4, 5)	Reading: 34% of 342 tested pupils were in groups that scored post-test means significantly higher than those predicted for them Math: 85% of 639 pupils tested were in groups that scored post-test means higher than those projected for them	None described

^{a/} Test scores reported were for all district pupils in grades 2, 4, and 6. It was unclear, therefore, how test score data was related to pupil participation in the district's ESAA program.

Description of Treatment Groups. The reader who is assessing the validity and reliability of testing data presented in an evaluation should know how many participants were involved in the project, what age and grade they were, how they were selected for participation, and how long they received the treatment. The four final evaluation reports provided little of this information. Only one report described the total number of students who participated in the project. Although all four reports described the total grade levels served, none identified the number of student participants by grade level or age. Two reports described the process by which students were selected to be participants. Two reports described the length of time each student was provided with ESAA funded compensatory activities. One report stated that students would participate from 2 to 5 days per week depending on need, but did not add further details.

Comparison Group. No comparison groups were used in the four evaluations.

Evaluation Design. In the absence of a comparison group, project evaluation should rely on norm referenced models as the evaluation design. In these models, children who participate in the project are compared to norms established on a testing procedure by a nationally representative sample of children at the same grade level. Students are given a pre-test to determine their achievement level before the treatment is administered, treated for the specified length of time, and then post-tested. If student performance on the post-test is significantly higher than that expected on the basis of the pre-test and national norms, it is assumed that the improvement resulted from the treatment.

Only two of the case study evaluations used national norms to relate expected growth on the basis of a pre-test to actual growth on a post-test. One of the other two districts presented ratios between raw scores without referencing national norms or grade equivalents. The fourth district pre- and post-tested a total of 80 students in seven grades and summarized their growth in grade equivalents.

Confounding Influences. Evaluations are subject to errors which may invalidate the findings. Among the four evaluation reports under discussion, one report was negatively affected by the lack of pre- and post-test scores for the same participants and by the absence of

published norms for one of the testing procedures. Two districts chose their participants on the basis of their low scores on a mechanism which also served as the pre-test. The statistical phenomenon of regression towards the mean would show that these students would learn more from their participation in the program than they actually had. Two districts which did not use national norms to assess student progress assumed that all achievement was due only to participation in the treatment group.

Evaluation Outcomes. Although all four reports concluded that the components were successful in meeting the objectives which were set for them, the statistics on which these conclusions were based were not methodologically sound. The reports which compared actual and expected growth found statistically significant positive results for the treatment effect in all but a very few cases. In one of these reports, however, the use of very small groups (4 in one group, 5 in another) leads to questionable findings of significance. Another district displayed results for all students enrolled in each grade but did not indicate if all students received the same treatment. As a result, it was impossible to determine if the scores were the result of students' participation in the project. The district which presented raw scores also noted that the growth was statistically significant although the conclusion that the growth was due to the ESAA activities was unwarranted in the absence of national norms. The district that presented outcomes in grade equivalents made no claim to statistical significance.

Figure 3.8 compares the evaluations used for affective components in three final reports submitted by case study districts. The report filed by one CSD, which was prepared by a professional evaluator, was the most accurate of the three although some of the outcomes were reported on the basis of a pre-test administration of a sociometric testing device to 537 students and a post-test administration of the same device to 319 students, both out of a treatment group of 3,500. Another final report provided no information on the effect of the program although there was considerable description of the process by which the component was implemented. The third final report used a CIPP (Context, Input, Process, Product) design which combined process and product evaluation, and enabled the ESAA staff to modify their project as it was being implemented. For the product evaluation, the report presented percentages of the target population which achieved the stated change in attitudes and behavior as

FIGURE 3.6

EVALUATION FOR AFFECTIVE COMPONENTS

Funded Basic Districts	Description of Treatment Group	Comparison Group	Evaluation Model Displayed	Evaluation		
				Confounding Influences	Statistical Significance	Size of Gain in Respect to National Norms
B #1	Not described	Not Described	Logs of daily routines of human relation specialists Logs of behav- ioral changes of individual students	Not applicable	None displayed Process outcomes Recruitment of students for magnet school	None displayed
B #2	3,500 students at targeted schools	None described	Interviews, obser- vations, pre- post- administra- tion of socio- metric devices	Large discrepancy between pre- and post tested students	Percent of students whose attitude to school changed Narrative of interview with faculty and administrators	None displayed
B #3	7,000 5th graders in two week sessions	None described	"CIPP" (Context Input, Process, Product)	No information presented about testing devices Faculty had previously par- ticipated but testing devices had not changed Faculty prepared students for pre-test	Percent of students reaching objectives no significance shown	None displayed

See Appendix B for sources and definitions.

demonstrated by their performance on a pre- and post-administration of a testing procedure. The testing procedure was not described. All three districts believed that they had been successful in achieving the objectives set for the components.

Budget Modifications and Grant Extensions

ESAA regulations and administrative procedures allow districts to request budget modifications within budget categories and to extend their grant period for up to 18 months from the beginning of the grant period. Budget modifications which do not affect the total budget or grant period are allowed at the discretion of the program officers. Usually these are requests by districts to shift funds between expenditure categories on the approved budget. Program officers generally approved shifts of 5 percent of the total budget between categories. District staff may also request modifications to change the numbers of staff funded by the project. One project director who had received funding for seven guidance counselors was able to expand the impact of the project by funding 14 counselors half-time.

If the project expenditures are below estimated costs as presented in quarterly financial reports, program officers have suggested that the district staff reprogram the funds within the constraints of the current project. For example, in one project designed to improve the reading, writing, and listening skills of Spanish dominant and bilingual students, program officers suggested that the district could use unexpended funds to purchase bilingual texts and materials to support the project's goals.

In Region II, GPM officials allowed budget extensions only if the district made their request in terms of objectives of the original project that had not been accomplished. GPM would not allow districts to reprogram unexpended funds into new activities that were not approved in the first scope of work. In FY 76, GPM refused to extend \$16,000 to one district that wished to prepare parent involvement kits. The response of the GPM official explained that the extension was denied because:

Your...request for a grant extension cannot be approved...Your request states that over-all you probably will achieve the objectives established by and for yourselves. All evidence indicates that your project was successfully completed and that your objectives were achieved.

Sanctions

If monitoring uncovers evidence that grantees are not in compliance with programmatic, fiscal, or civil rights regulations, program officers will recommend corrective actions. According to the regulations, program officers can initiate proceedings to suspend or terminate the grant in instances where grantees do not remedy the non-compliance. An ESAA grant may be suspended or terminated only after an administrative law judge determines that the suspension or termination is warranted.⁶

During the FY 76 project year, Region II program officers could not enforce effective sanctions necessary to bring districts into compliance with the requirements of the grant award. Region II program officers found evidence that the implementation of one grant had led to increased rather than decreased minority isolation in one district during FY 76. In a memo dated December 8, 1976, Regional program officers suggested six possible actions to Washington EEOP, who must approve steps to suspend or terminate a grant. Two of the six approaches included suspension of the grant: one pending "the development and implementation of actions by the district to bring about the stated objective of reduction of isolation" and the other "substituting a revised scope of work for (two components) so that the stated objective of the reduction of racial isolation in the target schools can be achieved by September 30, 1977." In February, Regional program officers were told that the recommendation for suspension or termination of the grant would require administrative hearings. According to Washington EEOP officials, the procedures necessary to establish the hearing process would have extended beyond the grant period and any action to institute them would have been useless. District staff who had been informed of the memo had been prepared to lose their Basic grant before the beginning of the second semester. When it became apparent to them that Washington would not take action on the memo, they made no changes to the conduct of their project.

Technical Assistance

Federal officials may offer technical assistance to facilitate all aspects of project implementation. Unlike project monitoring in which districts may be required to perform specified actions in order to maintain their

grants, compliance with technical assistance suggestions is purely voluntary. Program regulations and procedures provide little guidance on the nature of technical assistance which the program officials can offer. In Region II, the content of technical assistance, therefore, varied according to the background and training of program officers, their familiarity with the project, and their knowledge of other sources for technical assistance.

In Region II, the content of technical assistance most often was administrative: how to prepare required forms and procedures necessary for district staff to request program or budget modifications, or budget extensions. For example, district staff would present a draft extension request to the program office before they submitted it to GPM. Often, the program officers suggested changes in language or supporting data which they believed would strengthen the chances for the request to be granted.

In Region II, program officers rarely provided assistance on problems of educational effectiveness. If they were asked, some program officers without background or training in education would refer districts with educational problems to specialized agencies such as the General Assistance Centers or County Reading Councils. Other program officers who had served as professional educators felt more comfortable in giving advice on educational effectiveness. None of the program officers reported giving a substantial amount of technical assistance on educational effectiveness.

Occasionally, a Region II program officer would be asked to aid ESAA district level personnel to convince regular district staff of the importance of implementing a grant according to the scope of work. For example, a superintendent assigned ESAA funded staff as classroom substitutes in the opening weeks of the school term, forcing the delay of project staff training activities. The ESAA project director requested the program office's help in convincing the superintendent that the practice could not continue. The program officer then wrote to the superintendent:

I have also noted that project staff training activities, originally scheduled for September 13 and 14 have been postponed, and that I am not entirely convinced that this delay was necessary....I am confident that you will be fully supportive...in the implementation of all

aspects of the (ESAA) programs, and appreciate the concern you expressed during our brief meeting, so that (District X) will continue to gain maximum benefits from the (ESAA) program as it has in the past.

When district personnel approached them for assistance, program officers did not give advice on the best way to solve problems. Instead, they asked the district what changes district staff would like to implement and responded in terms of feasibility within the scope of work of the grant award. The inability of the New York City Central Board and Community School Districts to use the May administration of the Stanford Reading Test as a post-test for their evaluation illustrates the technical assistance process used by Region II program officers. When Community School Districts and Central Board personnel needed to find a substitute testing measure, program officers, who felt that it would not be "proper" for the program office to tell district officials how to proceed, asked them "what do you want to do" or referred them to GAC or SEA officials as alternative sources of assistance.

Summary

The effectiveness of ESAA project monitoring and technical assistance in Region II has been limited by the following factors:

- Monitoring was made difficult by the absence of reliable information which described the funded project, and by discontinuity in monitoring personnel.
- Monitoring had no systematic procedures for identifying districts likely to have compliance or implementation problems.
- The effect of monitoring was blunted by the program's inability or reluctance to enforce sanctions within the 1-year period of the grant.
- Technical assistance was generally confined to ESAA program administrative procedures and did not provide districts with solutions to project implementation or effectiveness problems.

FOOTNOTES

- 1 These problems are discussed fully in ESAA Basic and Pilot Programs in Region II: Volume II Case Studies, pp. 57-62.
- 2 Interview with Senior Official, OCR. October 11, 1977.
- 3 Examples of fiscal violations include: diversion of ESAA funds to purposes not specified in the application; irregularities in accounting procedures; expenditure rates indicating over or under spending, etc.
- 4 January 1976.
- 5 A Practical Guide to Measuring Project Impact on Student Achievement, Donald P. Horst, G. Kasten Tallmadge, and Christine T. Wood. Government Printing Office, Stock Number 017-080-01460, 1975; and A Procedural Guide for Validating Achievement Gains in Educational Projects, G. Kasten Tallmadge and Donald P. Horst. Government Printing Office, 1976.
- 6 Washington EEOP initiated a change to the regulations in the spring of 1978 which should facilitate administrative proceedings necessary to terminate a grant.

APPENDIX A
ADDITIONAL TABLES

FIGURE A.1

Percent of Districts and of Minority Pupils in Districts That
Applied For a Basic of Pilot Grant in Region II FY 1973-77

BASIC UNIVERSE^{a/}

<u>Fiscal Year</u>	<u>Total Number of Districts</u>	<u>Percent of Districts That Applied</u>	<u>Total Number of Minority Children^{b/}</u>	<u>Percent of Minority Children in Applicant Districts</u>
FY 73	208	21.1	1,710	61.4
FY 74	208	25.0	1,710	70.2
FY 75	208	20.7	1,754	65.9
FY 76	208	22.1	1,754	70.5
FY 77	208	19.2	1,754	64.3

PILOT UNIVERSE^{c/}

<u>Fiscal Year</u>	<u>Total Number of Districts</u>	<u>Percent of Districts That Applied</u>	<u>Total Number of Minority Children^{b/}</u>	<u>Percent of Minority Children in Applicant Districts</u>
FY 73	63	27.0	1,495	63.7
FY 74	63	25.4	1,495	65.9
FY 75	63	31.7	1,505	73.2
FY 76	63	39.7	1,505	79.4
FY 77	63	25.4	1,505	68.5

a/ Basic Universe includes districts with minority enrollment greater than 300 or 50 percent.

b/ Total number of children expressed in thousands.

c/ Pilot Universe includes districts with minority enrollment greater than 15,000 or 50 percent.

See Appendix B for sources and definitions.

A-2

FIGURE A.2

FINAL STATUS OF BASIC AND PILOT APPLICANTS FROM FY 73 TO FY 77

Program Fiscal Year	Total Number of Applicants	Funded	Percent Not Funded Due To:		Not in Fundable Range	Ineligibility and Not in Fundable Range
			Ineligibility	Insufficient Funds		
<u>BASIC</u>						
FY 73	44a/	59.1	13.6	0.0	25.0	0.0
FY 74	52	51.9	1.9	0.0	46.2	0.0
FY 75	43	44.2	4.7	18.6	32.6	0.0
FY 76	46	58.7	8.7	2.2	30.4	0.0
FY 77	40	65.0	5.0	0.0	27.5	2.5
<u>PILOT</u>						
FY 73	17	41.2	11.8	0.0	47.1	0.0
FY 74	16	37.5	0.0	0.0	62.5	0.0
FY 75	20	45.0	15.0	0.0	40.0	0.0
FY 76	25	40.0	4.0	20.0	24.0	12.0
FY 77	16	43.8	6.3	12.5	18.8	18.8

a/ Percents do not sum to 100 in FY 73 because 1 district (2.3% of total) had its funding withdrawn.

FIGURE A.3

The Statistical Significance of Differences Between the
Expected and Actual Number of FY 77 Basic Applicants
with Selected District Characteristics
N=208, $P_0=0.192a/$

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t (A) (4)	Degrees of Freedom (5)
<u>Desegregation- related characteristics:</u>				
Plan type:				
Required.....	1.7	7	4.5**	8
Nonrequired....	38.3	33	-0.9	198
Level of pupil Racial Isolation:				
Low.....	28.1	19	-1.9	145
Medium.....	7.9	15	2.8** <u>c/</u>	40
High.....	4.0	6	1.1	20
Change in Racial Isolation:				
Fall 1968-Fall 1975				
Decrease.....	5.0	6	0.5	25
No Change....	28.2	25	-0.7	146
Increase.....	3.1	6	1.9	15
<u>Other district characteristics:</u>				
Minority enroll- ment, Fall 75:				
0-5,000.....	30.4	19	-2.3*	157
5,000-15,000..	4.4	7	1.4	22
over 15,000...	5.2	14	4.3**	26

Figure A.3 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
Percent minority enrollment, Fall 75:				
0-15.....	9.0	0	-3.3**	46
15-30.....	11.7	7	-1.5	60
30-70.....	11.2	20	2.9** <u>c/</u>	57
70-90.....	4.8	7	1.1	24
over 90.....	3.3	6	1.7	16
Percent economically disadvantaged:				
Low.....	10.0	4	-2.1* <u>d/</u>	51
Medium.....	20.0	19	-0.2	103
High.....	10.0	17	2.5*	51
Percent educationally disadvantaged:				
Low.....	9.6	1	-3.1**	49
Medium.....	20.2	23	0.7	104
High.....	10.0	15	1.8	51
Metro status:				
Center city...	10.4	24	4.7**	53
Suburb.....	26.0	16	-2.2*	134
Rural.....	3.7	0	-2.1* <u>d/</u>	18
State:				
New Jersey....	18.5	14	-1.2	95
New York.....	21.5	26	1.1	111

Figure A.3 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
ESAA program status:				
No. of years applied:				
0.....	25.8	3	-5.0**	133
1.....	4.6	7	1.2	23
2.....	3.1	5	1.2	15
3.....	1.4	2	0.6	6
4.....	5.2	23	8.7**	26
No. of years funded:				
0.....	31.4	8	-4.6**	162
1.....	3.5	9	3.3**	17
2.....	1.9	6	3.3** ^{c/}	9
3.....	1.4	7	5.4**	6
4.....	1.9	10	6.5**	9

* Relationship is significant at the 0.05 level.

** Relationship is significant at the 0.01 level.
For all other cases, the null hypothesis cannot be rejected
at these levels of confidence.

a/ N=total number of cases, p_0 =proportion of districts that
applied in FY 77 = assumed probability of a random district
in group applying.

b/ Expected number = number of districts in subgroups times p_0 .

c/ Relationship is significant only at the 0.05 level
if one less district in this group applied.

d/ Relationship would not be significant at the 0.05 level,
however, if one additional district applied.

See Appendix B for sources and definitions.

Continued--

FIGURE A.3 (continued)

The Statistical Significance of Differences Between the
Expected and Actual Number of FY 77 Pilot Applicants
with Selected District Characteristics
N=63, $p_0=0.254a/$

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
<u>Desegregation-</u> <u>related</u> <u>characteristics:</u>				
Plan type:				
Nonrequired....	15.0	15	0.0	58
Required.....	1.0	1	0.0	3
Level of pupil Racial Isolation:				
Low.....	8.1	4	-1.7	31
Medium.....	4.3	8	2.1	16
High.....	3.6	4	0.3	13
Change in Racial Isolation:				
Fall 1968-Fall 1975				
Decrease.....	3.8	2	-1.1	14
No Change....	8.9	11	0.8	34
Increase.....	1.3	2	0.8	4
<u>Other district</u> <u>characteristics:</u>				
Minority enroll- ment, Fall 75:				
0-5,000.....	6.1	2	-1.9	23
5,000-15,000..	3.1	1	-1.4	11
over 15,000...	6.9	13	2.7*	26

Figure A.3 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t (A) (4)	Degrees of Freedom (5)
Percent minority enrollment, Fall 75:				
0-15.....				
15-30.....				
30-70.....	5.3	5	-0.2	20
70-90.....	6.4	6	-0.2	24
over 90.....	4.3	5	0.4	16
Percent economically disadvantaged:				
Low.....				
Medium.....	5.6	3	-1.3	21
High.....	10.4	13	0.9	40
Percent educationally disadvantaged:				
Low.....	1.3	0	-1.3	4
Medium.....	4.8	3	-1.0	18
High.....	9.7	13	1.2	37
Metro status:				
Center city...	8.9	15	2.4*c/	34
Suburb.....	6.9	1	-2.6*	26
Rural.....	0.3	0	-0.6	0
State:				
New Jersey....	7.1	3	-1.8	27
New York.....	8.9	13	1.6	34

Figure A.3 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t (A) (4)	Degrees of Freedom (5)
ESAA program status:				
No. of years applied:				
0.....	7.6	1	-2.8** <u>d/</u>	29
1.....	2.8	5	1.5	10
2.....	2.0	2	0.0	7
3.....	1.3	2	0.8	4
4.....	2.3	6	2.8* <u>c/</u>	8
No. of years funded:				
0.....	12.4	7	-1.8	48
1.....	1.0	3	2.3	3
2.....	1.0	1	0.0	3
3.....	1.0	3	2.3	3
4.....	0.5	2	2.4	1

* Relationship is significant at the 0.05 level.

** Relationship is significant at the 0.01 level.

For all other cases, the null hypothesis cannot be rejected at these levels of confidence.

a/ N=total number of cases, P_0 =proportion of districts that applied in FY 77 = assumed probability of a random district in group applying.

b/ Expected number = number of districts in subgroups times P_0 .

c/ Relationship is significant only at the 0.05 level however, if one less district applied.

d/ Relationship is significant only, at the 0.05 level however, if one additional district in this group applied.

See Appendix B for sources and definitions.

FIGURE A.4

The Statistical Significance of Differences Between
the Expected and Actual Number of FY 77 Basic Grant
Recipients with Selected District Characteristics
N=40, $p_0=0.65^a/$

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t (A) (4)	Degrees of Freedom (5)
<u>Desegregation related characteristics:</u>				
Plan type:				
Nonrequired....	21.5	20	-0.5	32
Required.....	4.6	6	1.1	6
Level of pupil Racial Isolation:				
Low.....	12.4	14	0.8	18
Medium.....	9.8	8	-0.9	14
High.....	3.9	4	0.1	5
Recency of plan:				
Pre-1964.....	10.4	11	0.3	15
1965-68.....	2.6	3	0.4	3
1969-73.....	4.6	4	-0.4	6
Since 1974.....	8.5	8	-0.3	12
Change in Racial Isolation:				
Fall 1968-Fall 1975				
Decrease.....	3.9	4	0.1	5
No Change....	16.3	17	0.3	24
Increase.....	3.9	4	0.1	5

Continued--

Figure A.4 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
Indices of effective net reduction of minority isolation:				
Number:				
0.....	10.4	9	-0.7	15
1-100.....	3.9	3	-0.8	5
100-200.....	3.3	5	1.6	4
200-500.....	5.2	4	-0.9	7
500-1,200....	3.3	5	1.6	4
Percent:				
0.....	15.0	13	-0.9	22
1-10.....	5.9	8	1.5	8
10-20.....	2.0	2	0.1	2
20-55.....	3.3	3	-0.2	4
<u>Other district characteristics:</u>				
Minority enrollment, Fall 77:				
0-5,000.....	12.4	12	-0.2	18
5,000-15,000..	5.2	7	1.3	7
over 15,000...	8.5	7	-0.8	12
Percent minority enrollment, Fall 77:				
0-15.....				
15-30.....	2.6	2	-0.6	3
30-70.....	15.0	16	0.5	22
70-90.....	3.9	4	0.1	5
over 90.....	4.6	4	-0.4	6

Continued--

Figure A.4 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
Percent economically disadvantaged:				
Low.....	2.6	3	0.4	3
Medium.....	12.4	13	0.3	18
High.....	11.1	10	-0.5	16
Percent educationally disadvantaged:				
Low.....	0.7	1	0.7	0
Medium.....	15.0	15	0.0	22
High.....	9.8	9	-0.4	14
Metro stat.....				
Center city...	15.6	16	0.2	23
Suburb.....	10.4	10	-0.2	15
State:				
New Jersey....	9.1	10	0.5	13
New York.....	16.9	16	-0.4	25
ESAA program status:				
No. of years applied:				
0.....	2.0	1	-1.1	2
1.....	4.6	3	-1.2	6
2.....	3.3	2	-1.2	4
3.....	1.3	1	-0.5	1
4.....	15.0	19	1.8	22

Continued--

Figure A.4 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
No. of years funded:				
0.....	5.2	3	-1.6	7
1.....	5.9	6	0.1	8
2.....	3.9	3	-0.8	5
3.....	4.6	4	-0.4	6
4.....	6.5	10	2.3* ^{c/}	9

* Relationship is significant at the 0.05 level.

** Relationship is significant at the 0.01 level.

For all other cases, the null hypothesis cannot be rejected at these levels of confidence.

a/ N=total number of cases, p_0 =proportion of districts that applied in FY 77 = assumed probability of a random district in group being funded.

b/ Expected number = number of districts in subgroups times p_0 .

c/ Relationship would not be significant at the 0.05 level, however, if one less district applied.

See Appendix B for sources and definitions

Continued--

FIGURE A.4 (continued)

The Statistical Significance of Differences Between
the Expected and Actual Number of FY 77 Pilot Grant
Recipients with Selected District Characteristics
N=16, $p_0=0.438^a$

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
<u>Desegregation</u> <u>related</u> <u>characteristics:</u>				
Plan type:				
Required.....	0.4	1	1.1	0
Nonrequired....	6.6	6	-0.3	14
Level of pupil Racial Isolation:				
Low.....	1.8	2	0.3	3
Medium.....	3.5	3	-0.4	7
High.....	1.8	2	0.3	3
Recency of plan:				
Pre-1964.....	3.9	3	-0.6	8
1969-73.....	0.9	1	0.2	1
Since 1974.....	2.2	3	0.7	4
Change in Racial Isolation:				
Fall 1968- Fall 1975:				
Decrease.....	0.9	1	.2	1
No Change....	4.8	5	.1	10
Increase.....	0.9	1	0.2	1
Indices of effec- tive net reduc- tion of minority isolation:				

Figure A.4 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
Number:				
0.....	4.8	3	-1.1	10
1-100.....	0.4	0	-0.9	0
100-200.....	0.4	1	1.1	0
200-500.....	0.4	1	1.1	0
500-1,200.....	0.9	2	1.6	1
Percent:				
0.....	4.8	3	-1.1	10
1-10.....	1.8	3	1.3	3
10-20.....	0.4	1	1.1	0
<u>Other district characteristics:</u>				
Minority enrollment, Fall 75:				
0-5,000.....	0.9	1	0.2	1
5,000-15,000..	0.9	1	0.2	1
over 15,000...	5.3	5	-0.1	11
Percent minority enrollment, Fall 75:				
30-70.....	2.2	2	-0.2	4
70-90.....	1.8	1	-0.8	3
over 90.....	3.1	4	0.7	6
Percent economically disadvantaged:				
Low.....				
Medium.....	1.3	2	0.8	2
High.....	5.7	5	-0.4	12

Figure A.4 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
Percent educationally disadvantaged:				
Medium.....	1.3	1	-0.4	2
High.....	5.7	6	0.2	12
Metro status:				
Center city...	6.6	6	-0.3	14
Suburb.....	0.4	1	1.1	0
State:				
New Jersey....	1.3	2	0.8	2
New York.....	5.7	5	-0.4	12
ESAA program status:				
No. of years applied:				
0.....	0.4	0	-0.9	0
1.....	2.2	1	-1.1	4
2.....	0.9	1	0.2	1
3.....	0.9	1	0.2	1
4.....	2.6	4	1.1	5
No. of years funded:				
0.....	3.1	1	-1.6	6
1.....	1.3	3	2.0	2
2.....	0.4	0	-0.9	0
3.....	1.3	1	-0.4	2
4.....	0.9	2	1.6	1

* Relationship is significant at the 0.05 level.

** Relationship is significant at the 0.01 level.

For all other cases, the null hypothesis cannot be rejected at these levels of confidence.

a/ N=total number of cases, p_0 =proportion of districts that applied in FY 77 = assumed probability of a random district in group being funded.

b/ Expected number = number of districts in subgroups times p_0 .

See Appendix B for sources and definitions

FIGURE A.5

Districts in Region II with Decreased Racial Isolation
Between 1968 and 1975: Basic Grant Applicants and Funded Status

District ^{a/}	Racial Isolation Index 1975	Change in Racial Isolation Index 1968-75	Enrollment, Fall 1975	Minority Enrollment, Fall 1975	Percent Minority Enrollment, Fall 1975	Applied for a Basic Grant, FY77	Received a Basic Grant, FY77	Number of Years the District Applied for a Basic Grant, FY72-FY76	Number of Years the District Received a Basic Grant, FY72-FY76
Median ^{b/}	5.5	-16.0	11,791	4,673	74.6	--	--	0	0
East Orange, NJ	1.7	-61.1	12,620	12,387	98.2	Did not apply	Did not apply	0	0
CSD 23, NY	0.8	-43.1	17,826	17,746	99.6	Did not apply	Did not apply	1	0
CSD 16, NY	0.7	-38.3	16,076	16,007	99.6	Did not apply	Did not apply	0	0
Union Township, NJ	0.8	-33.6	743	33	4.4	Did not apply	Did not apply	4	2
Salmon River, NY	18.1	-32.6	1,946	646	33.2	Did not apply	Did not apply	0	0
Camden City, NJ	32.0	-23.3	21,479	18,229	84.9	Did not apply	Did not apply	0	0
Carteret, NJ	4.1	-19.7	4,356	723	16.6	Did not apply	Did not apply	0	0
Poughkeepsie, NY	4.3	-19.3	4,926	2,364	48.0	Applied	Funded	4	3
Monticello, NY	4.4	-18.6	3,800	864	22.7	Did not apply	Did not apply	0	0
CSD 9, NY	1.0	-18.5	38,651	37,778	97.7	Applied	Funded	2	1
Montclair, NJ	4.7	-18.5	6,782	2,883	42.5	Applied	Funded	4	4
Newburgh, NY	23.3	-17.4	12,645	4,245	33.6	Did not apply	Did not apply	0	0
CSD 17, NY	6.2	-16.3	26,997	25,931	96.1	Did not apply	Did not apply	1	0
CSD 26, NY	1.7	-15.7	16,757	4,316	25.8	Applied	Funded	4	1
Paterson, NJ	28.1	-13.6	28,116	22,464	79.9	Did not apply	Did not apply	0	0
New Brunswick, NJ	15.8	-13.6	5,348	4,264	79.7	Applied	Not funded	1	0
CSD 28, NY	35.8	-13.0	24,227	16,530	68.2	Did not apply	Did not apply	3	0
Passaic City, NJ	22.3	-12.7	8,198	6,055	73.9	Did not apply	Did not apply	0	0
Patchogue-Medford, NY	2.5	-12.5	10,961	1,035	9.4	Did not apply	Did not apply	0	0
CSD 1, NY	4.3	-12.4	14,711	13,771	93.6	Did not apply	Did not apply	3	1
Hempstead, NY	17.8	-12.3	5,676	4,903	87.0	Did not apply	Did not apply	0	0
Atlantic City, NJ	33.3	-11.9	8,239	6,724	75.2	Did not apply	Did not apply	0	0
Lafayette, NY	39.6	-11.0	1,477	327	22.1	Did not apply	Did not apply	0	0
Lackawanna, NY	39.8	-10.8	4,772	1,011	21.2	Applied	Not funded	0	0
Roosevelt, NY	0.5	-10.6	4,513	4,443	98.5	Did not apply	Did not apply	0	0
Newark, NJ	42.8	-10.0	72,818	65,146	89.5	Did not apply	Did not apply	2	1

a/ Districts are listed in descending order of change in Racial Isolation Index between 1968 and 1975.

b/ In a distribution of variables which are of interval type with an odd number of cases, the median is the middle score; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

FIGURE A.6

Districts in Region II with Decreased Racial Isolation
Between 1968 and 1975: Pilot Grant Applicants and Funded Status

District ^{a/}	Racial Isolation Index 1975	Change in Racial Isolation Index 1968-75	Enrollment, Fall 1975	Minority Enrollment, Fall 1975	Percent Minority Enrollment, Fall 1975	Applied for a Pilot Grant, FY77	Received a Pilot Grant, FY77	Number of Years the District Applied for a Pilot Grant, FY72-FY76	Number of Years the District Received a Pilot Grant, FY72-FY76
Median ^{b/}	15.8	-13.6	16,076	16,007	89.5	--	--	1	0
East Orange, NJ	1.7	-61.1	12,620	12,387	98.2	Did not apply	Did not apply	2	2
CSD 23, NY	0.8	-43.1	17,826	17,746	99.6	Did not apply	Did not apply	0	0
CSD 16, NY	0.7	-38.3	16,076	16,007	99.6	Did not apply	Did not apply	0	0
Camden City, NJ	32.0	-23.3	21,479	18,229	84.9	Did not apply	Did not apply	0	0
CSD 9, NY	1.0	-18.5	38,651	37,778	97.7	Did not apply	Did not apply	2	0
CSD 17, NY	6.2	-16.3	26,997	25,931	96.1	Did not apply	Did not apply	4	3
Paterson, NJ	28.1	-13.6	28,116	22,464	79.9	Did not apply	Did not apply	0	0
New Brunswick, NJ	15.8	-13.6	5,348	4,264	79.7	Applied	Not funded	3	2
CSD 28, NY	35.8	-13.0	24,227	16,530	68.2	Did not apply	Did not apply	2	0
Passaic City, NJ	22.3	-12.7	8,198	6,055	73.9	Did not apply	Did not apply	0	0
CSD 1, NY	4.3	-12.4	14,713	13,771	93.6	Did not apply	Did not apply	1	0
Hempstead, NY	17.8	-12.3	5,635	4,903	87.0	Did not apply	Did not apply	0	0
Atlantic City, NJ	33.3	-11.9	8,939	6,724	75.2	Did not apply	Did not apply	2	0
Roosevelt, NY	0.5	-10.6	4,513	4,443	98.5	Did not apply	Did not apply	1	0
Newark, NJ	42.8	-10.0	72,818	65,146	89.5	Applied	Funded	3	3

a/ Districts are listed in descending order of change in Racial Isolation Index between 1968 and 1975.

b/ In a distribution of variables which are of interval type with an odd number of cases, the median is the middle score; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

FIGURE A.7

Districts in Region II with Increased Racial Isolation
Between 1968 and 1975: Basic Grant Applicants and Funded Status

District ^{a/}	Racial Isolation Index 1975	Change in Racial Isolation Index 1968-75	Enrollment, Fall 1975	Minority Enrollment, Fall 1975	Percent Minority Enrollment, Fall 1975	Applied for a Basic Grant, FY77	Received a Basic Grant, FY77	Number of Years the District Applied for a Basic Grant, FY72-FY76	Number of Years the District Received a Basic Grant, FY72-FY76
Median ^{b/}	27.0	8.5	23,235	8,742	41.5	--	--	1	0
Irvington, NJ	32.6	27.1	8,308	3,897	46.9	Did not apply	Did not apply	0	0
CSD 22, NY	24.2	18.7	25,750	7,500	29.1	Applied	Funded	2	0
CSD 18, NY	51.3	15.7	20,477	12,783	62.4	Applied	Funded	4	4
CSD 29, NY	49.0	12.8	26,211	20,902	79.8	Did not apply	Did not apply	1	0
Yonkers, NY	39.8	12.6	29,709	8,612	29.0	Did not apply	Did not apply	0	0
CSD 24, NY	26.9	11.7	26,078	11,462	44.0	Applied	Funded	4	4
CSD 31, NY	30.5	10.0	40,397	6,584	16.3	Did not apply	Did not apply	2	0
Deer Park, NY	13.7	8.8	7,962	763	9.6	Did not apply	Did not apply	0	0
CSD 20, NY	19.8	8.2	26,201	8,243	31.5	Applied	Not funded	0	0
CSD 27, NY	46.5	7.9	30,360	14,709	48.5	Did not apply	Did not apply	2	0
CSD 13, NY	18.3	7.6	21,060	20,422	97.0	Applied	Not funded	2	1
Trenton, NJ	38.8	7.0	16,500	13,324	80.8	Did not apply	Did not apply	0	0
Port Chester, NY	25.6	6.7	3,838	1,492	38.9	Did not apply	Did not apply	0	0
Perth Amboy, NJ	18.5	5.4	6,795	4,366	64.3	Did not apply	Did not apply	0	0
Rockville Centre, NY	11.5	5.2	4,247	375	8.8	Did not apply	Did not apply	0	0
CSD 21, NY	27.0	5.1	25,409	8,871	34.9	Applied	Funded	4	3

a/ Districts are listed in descending order of change in Racial Isolation Index between 1968 and 1975.

b/ In a distribution of variables which are of interval type with an odd number of cases, the median is the middle score; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

FIGURE A.8

Districts in Region II with Increased Racial Isolation
Between 1968 and 1975: Pilot Grant Applicants and Funded Status

District ^{a/}	Racial Isolation Index 1975	Change in Racial Isolation Index 1968-75	Enrollment, Fall 1975	Minority Enrollment, Fall 1975	Percent Minority Enrollment, Fall 1975	Applied for a Pilot Grant, FY77	Received a Pilot Grant, FY77	Number of Years the District Applied for a Pilot Grant, FY72-FY76	Number of Years the District Received a Pilot Grant, FY72-FY76
Median ^{b/}	38.8	7.6	20,477	13,324	79.8	--	--	2	0
CSD 18, N.Y.....	51.3	15.7	20,477	12,783	62.4	Applied	Not funded	2	0
CSD 29, N.Y.....	49.0	12.8	26,211	20,902	79.8	Did not apply	Did not apply	2	0
CSD 13, N.Y.....	18.3	7.6	2,1060	20,422	97.0	Applied	Funded	1	0
Trenton, N.J.....	38.8	7.0	16,500	13,324	80.8	Did not apply	Did not apply	0	0
Perth Amboy, N.J.	18.5	5.4	6,795	4,366	64.3	Did not apply	Did not apply	3	0

^{a/} Districts are listed in descending order of change in Racial Isolation Index between 1968 and 1975.

^{b/} In a distribution of variables which are of interval type with an odd number of cases, the median is the middle score; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

FIGURE A.9

SPEARMAN RANK ORDER CORRELATION COEFFICIENTS MATRIX: STATISTICAL, QUALITY, AND TOTAL SCORES BY STATE, PROGRAM, AND SUBMISSION FY 77

A. NEW JERSEY
BASIC APPLICATIONS

	First Submission ^{a/}			Resubmission ^{b/}		
	Statistical Score	Quality Score	Total Score	Statistical Score	Quality Score	Total Score
First Submission	1.00	.11	.46	1.00	.13	.65
Statistical Score	sig.=.001	sig.=.358	sig.=.050	sig.=.001	sig.=.366	sig.=.029
Quality Score		1.00	.87	.23	.85	.68
		sig.=.001	sig.=.001	sig.=.272	sig.=.002	sig.=.022
Total Scores			1.00	.55	.67	.87
			sig.=.001	sig.=.062	sig.=.025	sig.=.001
Resubmission				1.00	.85	.86
Statistical Score				sig.=.001	sig.=.366	sig.=.029
Quality Score					1.00	.87
					sig.=.001	sig.=.021
Total Score						1.00
						sig.=.001

a/ N = 14
b/ N = 9

Continued--

FIGURE A.9 (Cont.)

SPEARMAN RANK ORDER CORRELATION COEFFICIENTS MATRIX: STATISTICAL,
QUALITY, AND TOTAL SCORES BY STATE, PROGRAM, AND SUBMISSION FY 77

B. NEW YORK
BASIC APPLICATIONS

	First Submission ^{a/}			Resubmission ^{b/}		
<u>First Submission</u>	<u>Statistical Score</u>	<u>Quality Score</u>	<u>Total Score</u>	<u>Statistical Score</u>	<u>Quality Score</u>	<u>Total Score</u>
Statistical Score	1.00	-.05	.26	.93	.37	.72
	sig.=.001	sig.=.402	sig.=.100	sig.=.001	sig.=.087	sig.=.001
Quality Score		1.00	.93	-.03	.66	.46
		sig.=.001	sig.=.001	sig.=.458	sig.=.004	sig.=.041
Total Scores			1.00	.48	.75	.77
			sig.=.001	sig.=.034	sig.=.001	sig.=.001
<u>Resubmission</u>						
Statistical Score				1.00	.39	.76
				sig.=.001	sig.=.073	sig.=.001
Quality Score					1.00	.87
					sig.=.001	sig.=.001
Total Score						1.00
						sig.=.001

^{a/} N = 26

^{b/} N = 15

FIGURE A.9 (Cont.)

SPEARMAN RANK ORDER CORRELATION COEFFICIENTS MATRIX: STATISTICAL, QUALITY, AND TOTAL SCORES BY STATE, PROGRAM, AND SUBMISSION FY 77

C. NEW YORK
PILOT APPLICATIONS

	First Submission ^{a/}			Resubmission ^{b/}		
<u>First Submission</u>	<u>Statistical Score</u>	<u>Quality Score</u>	<u>Total Score</u>	<u>Statistical Score</u>	<u>Quality Score</u>	<u>Total Score</u>
	1.00	.26	.51	.96	-.06	.43
Statistical Score	sig.=.001	sig.=.193	sig.=.038	sig.=.001	sig.=.433	sig.=.105
		1.00	.96	-.17	.95	.78
Quality Score		sig.=.001	sig.=.001	sig.=.318	sig.=.001	sig.=.004
			.001	.17	.92	.94
Total Scores			sig.=.001	sig.=.318	sig.=.001	sig.=.001
<u>Resubmission</u>				1.00	-.13	.40
Statistical Score				sig.=.001	sig.=.355	sig.=.128
					1.00	.82
Quality Score					sig.=.001	sig.=.002
						1.00
Total Score						sig.=.001

a/ N =13

b/ N =10

D. NEW JERSEY
PILOT APPLICATIONS

New Jersey Pilot Applications had only three cases. There were no significant correlations.

FIGURE A.10

Selected Characteristics of Districts that Received a Basic or
Pilot Grant in DHEW Region II, FY 77

Type of Grant	District ^{a/}	Total Enrollment	Minority Enrollment	Percent Minority Enrollment	Last Total Statistical Score	Last Total Quality Score	Last Total Score
BASIC:	Median ^{b/}	16,079	8,177	49.5	21.00	36.33	57.33
	B # 1	16,580	14,647	88.3	31.00	43.66	74.66
	B # 2	27,816	25,513	91.7	31.00	38.00	69.00
	B # 3	15,578	4,065	26.1	28.00	40.00	68.00
	B # 4	16,603	16,057	96.7	32.00	34.00	66.00
	B # 5	7,860	3,744	47.6	28.00	36.33	64.33
	B # 6	3,826	2,546	66.5	21.00	42.66	63.66
	B # 7	36,097	35,549	98.5	28.00	35.33	63.33
	B # 8	8,932	7,903	88.5	23.00	40.00	63.00
	B # 9	25,378	8,661	34.1	21.00	41.33	62.33
	B # 10	40,827	21,550	52.8	24.00	36.66	60.66
	B # 11	19,415	12,240	63.0	23.00	37.33	60.33
	B # 12	55,167	27,362	49.6	30.00	30.00	60.00
	B # 13	35,515	26,381	74.3	29.00	29.33	58.33
	B # 14	14,123	3,187	22.6	21.00	35.33	56.33
	B # 15	24,572	8,535	34.7	15.00	41.00	56.00
	B # 16	19,056	17,390	91.3	26.00	29.00	55.00
	B # 17	25,858	12,436	48.1	21.00	33.66	54.66
	B # 18	4,554	2,384	52.4	17.00	37.00	54.00
	B # 19	1,202	962	80.0	20.00	32.00	52.00
	B # 20	5,329	2,632	49.4	16.00	34.00	50.00
	B # 21	3,174	1,332	42.0	21.00	28.33	49.33
	B # 22	4,542	1,367	30.1	11.00	36.66	47.66
	B # 23	6,456	2,504	38.0	11.00	36.33	47.33
	B # 24	8,359	2,926	35.0	10.00	36.66	45.66
	B # 25	25,358	8,450	33.3	15.00	30.00	45.00
	B # 26	6,148	2,647	43.1	16.00	28.33	44.33

Continued--

FIGURE A.10 (Cont.)

Type of Grant	District ^{a/}	Total Enrollment	Minority Enrollment	Percent Minority Enrollment	Last Total Statistical Score	Last Total Quality Score	Last Total Score
PILOT:	Median ^{b/}	21,717	21,063	91.2	28.00	48.66	77.33
	P # 1	27,816	25,513	91.7	29.00	51.33	80.33
	P # 2	16,580	14,647	88.3	28.00	50.66	78.66
	P # 3	16,603	16,057	96.7	30.00	48.33	78.33
	P # 4	72,770	66,373	91.2	30.00	47.33	77.33
	P # 5	21,717	21,063	97.0	27.00	48.66	75.66
	P # 6	40,827	21,550	52.8	19.00	53.00	72.00
	P # 7	3,826	2,546	66.5	16.00	46.33	62.33

a/ Districts are listed in descending order by last total score recorded in ESAA application.

b/ In a distribution of variables which are of interval type with an odd number of cases, the median is the middle score; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

c/ Total score does not equal sum of statistical score and quality score due to a math error on the 139.

Continued--

FIGURE A.10 (Cont.)

Selected Characteristics of Districts that Applied for
and Did Not Receive an ESAA Basic or Pilot
Grant in DHEW Region II, FY 77

A. Basic District ^{a/}	Total Enrollment	Minority Enrollment	Percent Minority Enrollment	Last Total Statistical Score	Last Total Quality Score	Last Total Score
Median ^{b/}	11,522	6,326	59.3	23.00	18.83	34.66
B # 27	27,706	17,371	62.7	24.00	36.66	60.66
B # 28	819,695	533,815	65.1	28.00	28.16	56.16
B # 29	16,264	16,203	99.6	27.00	26.33	53.33
B # 30	21,712	21,058	97.0	27.00	21.33	48.33
B # 31	4,153	2,317	55.8	24.00	23.33	47.33
B # 32	4,495	944	21.0	18.00	23.33	41.33
B # 33	5,266	4,408	83.7	20.00	14.66	34.66
B # 34	24,731	18,644	75.4	25.00	9.66	34.66
B # 35	26,201	8,243	31.5	14.00	18.33	32.33
B # 36	6,325	3,062	48.4	22.00	9.00	31.00
B # 37	6,780	3,390	50.0	12.00	19.00	31.00
B # 38	2,042	978	47.9	11.00	18.66	29.66
B # 39	21,058	19,171	91.0	26.00	0.0	26.00
B # 40	6,306	1,605	25.5	6.00	8.66	14.66
B. Pilot District ^{a/}	Total Enrollment	Minority Enrollment	Percent Minority Enrollment	Last Total Statistical Score	Last Total Quality Score	Last Total Score
Median ^{b/}	21,058	17,390	74.7	23.00	29.00	51.40
P # 8	31,633	23,637	74.7	23.00	51.66	74.66
P # 9	21,058	19,171	91.0	26.00	44.66	70.66
P # 10	19,415	12,240	63.0	19.00	49.33	68.33
P # 11	16,264	16,203	99.6	27.00	32.00	59.00
P # 12	819,695	533,815	65.1	25.00	26.40	51.40
P # 13	34,742	17,371	50.0	20.00	31.00	51.00
P # 14	5,266	4,408	83.7	18.00	29.00	47.00
P # 15	19,056	17,390	91.3	26.00	20.33	46.33
P # 16	25,451	18,644	73.3	23.00	18.00	41.00

a/ Districts are listed in descending order by last total score recorded in ESAA application. Basic and Pilot applicants with a total score in the fundable range did not receive an ESAA grant because they did not receive a quality score in the fundable range or because they were found by OCR to be ineligible for ESAA funding. Pilot applicants were also not funded because of insufficient funds.

b/ In a distribution of variables which are of interval type with an odd number of cases, the median is the middle score; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

FIGURE A.11

Total Statistical Score by Component for Funded and Non-Funded
Districts in Region II: Basic and Pilot Grants, FY 77

Basic Grant	Minority Enrollment		Minority Percent		Reduction Score 1		Reduction Score 2		Total Stat Score	
	Funded n = 26	Non-Funded n = 14	Funded n = 26	Non-Funded n = 14	Funded n = 26	Non-Funded n = 14	Funded n = 26	Non-Funded n = 14	Funded n = 26	Non-Funded n = 14
Median ^a /	9	7	11.5	11.5	2	.5	0	0	21	23
	13	15	15	15	7	4	8	11	32	28
	13	12	15	15	7	3	7	6	31	27
	12	11	15	15	5	3	6	4	31	27
	12	11	15	15	5	3	3	0	30	26
	12	11	15	14	5	1	3	0	29	25
	12	11	15	13	4	1	2	0	28	24
	11	9	15	12	4	1	2	0	28	24
	11	5	14	11	3	0	2	0	28	22
	10	4	13	11	3	0	1	0	26	20
	10	4	13	7	2	0	1	0	24	18
	10	3	13	5	2	0	1	0	23	14
	9	3	12	5	2	0	0	0	23	12
	9	2	12	3	2	0	0	0	21	11
	9	1	11	2	2	0	0	0	21	6
	8		11		1		0		21	
	4		11		0		0		21	
	4		11		0		0		21	
	3		10		0		0		20	
	3		9		0		0		17	
	3		8		0		0		16	
	3		7		0		0		16	
	3		6		0		0		15	
	3		6		0		0		15	
	2		6		0		0		11	
	2		5		0		0		11	
	1		2		0		0		10	

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Continued--

FIGURE A.11 (Cont.)

Pilot Grant	Minority Enrollment		Minority Percent		Reduction Score 1		Reduction Score 2		Total Stat Score	
	Funded n = 7	Non-Funded n = 9	Funded n = 7	Non-Funded n = 9	Funded n = 7	Non-Funded n = 9	Funded n = 7	Non-Funded n = 9	Funded n = 7	Non-Funded n = 9
Median ^{a/}	12	11	15	12	1	0	0	0	28	23
	15	15	15	15	3	1	2	0	30	27
	12	12	15	15	3	0	1	0	30	26
	12	11	15	15	2	0	1	0	29	26
	12	11	15	13	1	0	0	0	28	25
	11	11	14	12	0	0	0	0	27	23
	10	11	10	11	0	0	0	0	19	23
	3	11	7	9	0	0	0	0	16	20
		10		9		0		0		19
		5		6		0		0		18

^{a/} In a distribution of variables which are of interval type with an odd number of cases, the median is the middle score; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

FIGURE A.12

SPEARMAN RANK ORDER CORRELATIONS BETWEEN QUALITY SCORE COMPONENTS AND
TOTAL QUALITY SCORE BY SUBMISSION FY 77

A. BASIC APPLICATIONS^{a/}

Panel Review Components: First Submission

Panel Review Components: First Submission	Needs Assessment	Objectives	Activities	Resource Management	Evaluation	Total
Needs Assessment	1.00	.91	.86	.68	.80	.93
	sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001
Objectives		1.00	.89	.72	.84	.94
		sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001
Activities			1.00	.73	.85	.97
			sig.=.001	sig.=.001	sig.=.001	sig.=.001
Resource Management				1.00	.77	.79
				sig.=.001	sig.=.001	sig.=.001
Evaluation					1.00	.89
					sig.=.001	sig.=.001
Total						1.00
						sig.=.001

a/ 40 Basic Applicants - First Submission

Continued--

FIGURE A.12 (Cont.)

SPEARMAN RANK ORDER CORRELATIONS BETWEEN QUALITY SCORE COMPONENTS AND
TOTAL QUALITY SCORE BY SUBMISSION FY 77

B. BASIC APPLICATIONS^{a/}

Panel Review Components: Resubmission						
Panel Review Components: <u>Resubmission</u>	<u>Needs Assessment</u>	<u>Objectives</u>	<u>Activities</u>	<u>Resource Management</u>	<u>Evaluation</u>	<u>Total</u>
Needs Assessment	1.00	.94	.65	.88	.81	.91
	sig.=.001	sig.=.001	sig.=.002	sig.=.001	sig.=.001	sig.=.001
Objectives		1.00	.71	.83	.83	.91
		sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001
Activities			1.00	.59	.72	.87
			sig.=.001	sig.=.005	sig.=.001	sig.=.001
Resource Management				1.00	.85	.86
				sig.=.001	sig.=.001	sig.=.001
Evaluation					1.00	.87
					sig.=.001	sig.=.001
Total						1.00
						sig.=.001

a/ 18 Basic Applicants - Resubmission

Continued--

See Appendix B for sources and definitions.

FIGURE A.12 (Cont.)

SPEARMAN RANK ORDER CORRELATIONS BETWEEN QUALITY SCORE COMPONENTS AND
TOTAL QUALITY SCORE BY SUBMISSION FY 77

C. PILOT APPLICATIONS^{a/}

Panel Review Components: First Submission

Panel Review Components: First Submission	Needs Assessment	Objectives	Activities	Resource Management	Evaluation	Replicability	Total
	1.00	.81	.78	.68	.90	.81	.84
Needs Assessment	sig.=.001	sig.=.001	sig.=.001	sig.=.002	sig.=.001	sig.=.001	sig.=.001
		1.00	.83	.79	.70	.74	.80
Objectives		sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001
			1.00	.77	.73	.78	.94
Activities			sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001
				1.00	.77	.87	.87
Resource Management				sig.=.001	sig.=.001	sig.=.001	sig.=.001
					1.00	.88	.88
Evaluation					sig.=.001	sig.=.001	sig.=.001
						1.00	.89
Replicability						sig.=.001	sig.=.001*
							1.00
Total							sig.=.001

^{a/} 16 Pilot applicants except where * appears data only available for 15 applicants.

Continued--

FIGURE A.12 (Cont.)

SPEARMAN RANK ORDER CORRELATIONS BETWEEN QUALITY SCORE COMPONENTS AND
TOTAL QUALITY SCORE BY SUBMISSION FY 77

D. PILOT APPLICATIONS^{a/}

Panel Review Components: Resubmission

Panel Review Components: <u>Resubmission</u>	<u>Needs Assessment</u>	<u>Objectives</u>	<u>Activities</u>	<u>Resource Management</u>	<u>Evaluation</u>	<u>Replicability</u>	<u>Total</u>
	1.00	.97	.83	.86	.87	.92	.93
Needs Assessment	sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001
		1.00	.82	.92	.87	.94	.94
Objectives		sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001
			1.00	.83	.86	.89	.92
Activities			sig.=.001	sig.=.001	sig.=.001	sig.=.001	sig.=.001
				1.00	.74	.89	.90
Resource Management				sig.=.001	sig.=.005	sig.=.001	sig.=.001
					1.00	.93	.93
Evaluation					sig.=.001	sig.=.001	sig.=.001
						1.00	1.00
Replicability						sig.=.001	sig.=.001
							1.00
Total							sig.=.001

^{a/} II Pilot Applicants - Resubmission

FIGURE A.13

The Statistical Significance of the Differences Between the
Expected and Actual Number of FY 77 Basic Applicants
with Selected District Characteristics Receiving
a Score in the Fundable Range
N=40, $p_0=0.675a/$

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t (A) (4)	Degrees of Freedom (5)
<u>Desegregation related characteristics:</u>				
Plan type:				
Nonrequired....	22.3	21	-0.5	32
Required.....	4.8	6	1.0	6
Level of pupil Racial Isolation:				
Low.....	12.8	13	0.9	18
Medium.....	10.1	9	-0.6	14
High.....	4.1	5	0.8	5
Recency of plan:				
Pre-1964.....	10.8	12	0.6	15
1965-68.....	2.7	3	0.3	3
1969-73.....	4.7	4	-0.6	6
Since 1974.....	8.8	8	-0.5	12
Change in Racial Isolation:				
Fall 1968-Fall 1975				
Decrease.....	4.1	4	0.0	5
No Change....	16.9	18	0.5	24
Increase.....	4.1	4	0.0	5

Figure A.13 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t (A) (4)	Degrees of Freedom (5)
Indices of effective net reduction of minority isolation:				
Number:				
0.....	10.8	10	-0.4	15
1-100.....	4.1	3	-0.9	5
100-200.....	3.4	5	1.6	4
200-500.....	5.4	4	-1.1	7
500-1,200....	3.4	5	1.6	4
Percent:				
0.....	15.5	14	-0.7	22
1-10.....	6.1	8	1.4	8
10-20.....	2.0	2	0.0	2
20-55.....	3.4	3	-0.4	4
<u>Other district characteristics:</u>				
Minority enrollment, Fall 77:				
0-5,000.....	12.8	12	-0.4	18
5,000-15,000..	5.4	7	1.2	7
over 15,000...	8.8	8	-0.5	12
Percent minority enrollment, Fall 77:				
15-30.....	2.7	2	-0.7	3
30-70.....	15.5	18	1.1	22
70-90.....	4.1	4	0.0	5
over 90.....	4.7	3	-1.4	6

Figure A.13 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
Percent economically disadvantaged:				
Low.....	2.7	3	0.3	3
Medium.....	12.8	13	0.1	18
High.....	11.5	11	-0.2	16
Percent educationally disadvantaged:				
Low.....	0.7	1	0.7	0
Medium.....	15.5	16	0.2	22
High.....	10.1	9	-0.6	14
Metro status:				
Center city...	16.2	17	0.3	23
Suburb.....	10.8	10	-0.4	15
State:				
New Jersey....	9.5	10	0.3	13
New York.....	17.6	17	-0.2	25
ESAA program status:				
No. of years applied:				
0.....	2.0	1	-1.3	2
1.....	4.7	3	-1.4	6
2.....	3.4	2	-1.3	4
3.....	1.4	1	-0.5	1
4.....	15.5	20	2.0	22

Figure A.13 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
No. of years funded:				
0.....	5.4	3	-1.8	7
1.....	6.1	6	-0.1	8
2.....	4.1	3	-0.9	5
3.....	4.7	5	0.2	6
4.....	6.8	10	2.2	9
Final proposal score in the fundable range, FY76:				
Yes.....	16.9	20	1.3	24
No.....	6.1	6	-0.1	8

* Relationship is significant at the 0.05 level.

** Relationship is significant at the 0.01 level.

For all other cases, the null hypothesis cannot be rejected at these levels of confidence.

a/ N=total number of cases, p_0 =proportion of districts that applied in FY 77 = assumed probability of a random district in group receiving a score in the fundable range.

b/ Expected number = number of districts in subgroups times p_0 .

See Appendix B for sources and definitions

FIGURE A.13 (continued)

The Statistical Significance of Differences Between the
Expected and Actual Number of FY 77 Pilot Applicants
with Selected District Characteristics Receiving
a Score in the Fundable Range
N=16, $P_0=0.625a/$

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
<u>Desegregation-</u> <u>related</u> <u>characteristics:</u>				
Plan type:				
Required.....	0.6	1	0.8	0
Nonrequired....	9.4	9	-0.2	14
Level of pupil Racial Isolation:				
Low.....	2.5	2	-0.5	3
Medium.....	5.0	5	0.0	7
High.....	2.5	3	0.5	3
Recency of plan:				
Pre-1964.....	5.6	5	-0.4	8
1969-73.....	1.3	1	-0.4	1
Since 1974.....	3.1	4	0.8	4
Change in Racial Isolation:				
Fall 1968-Fall 1975				
Decrease.....	1.3	1	-0.4	1
No Change....	6.9	6	-0.6	10
Increase.....	1.3	2	1.1	1

Figure A.13 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t (A) (4)	Degrees of Freedom (5)
Indices of effective net reduction of minority isolation:				
Number:				
0.....	6.9	6	-0.6	10
1-100.....	0.6	0	-1.3	0
100-200.....	0.6	1	0.8	0
200-500.....	0.6	1	0.8	0
500-1,200....	1.3	2	1.1	1
Percent:				
0.....	6.9	6	0.5	10
1-10.....	2.5	3	0.5	3
10-20.....	0.6	1	0.8	0
<u>Other district characteristics:</u>				
Minority enrollment, Fall 77:				
0-5,000.....	1.3	1	-0.4	1
5,000-15,000..	1.3	2	1.1	1
over 15,000...	7.5	7	-0.3	11
Percent minority enrollment, Fall 77:				
30-70.....	3.1	3	-0.1	4
70-90.....	2.5	2	-0.5	3
over 90.....	4.4	5	0.5	6

Figure A.13 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
Percent economically disadvantaged:				
Medium.....	1.9	2	0.1	2
High.....	8.1	8	-0.1	12
Percent educationally disadvantaged:				
Medium.....	1.9	2	0.1	2
High.....	8.1	8	-0.1	12
Metro status:				
Center city...	9.4	9	-0.2	14
Suburb.....	0.6	1	0.8	0
State:				
New Jersey....	1.9	2	0.1	2
New York.....	8.1	8	-0.1	12
ESAA program status:				
No. of years applied:				
0.....	0.6	0	-1.3	0
1.....	3.1	3	-0.1	4
2.....	1.3	2	1.1	1
3.....	1.3	1	-0.4	1
4.....	3.8	4	0.2	5

Figure A.13 (continued)

Variable Name (1)	Expected ^{b/} (E) (2)	Actual (A) (3)	t(A) (4)	Degrees of Freedom (5)
No. of years funded:				
0.....	4.4	4	-0.3	6
1.....	1.9	3	1.3	2
2.....	0.6	0	-1.3	0
3.....	1.9	1	-1.0	2
4.....	1.3	2	1.1	1
Final proposal score in the fundable range, FY76:				
Yes.....	6.9	7	0.1	10
No.....	1.3	1	-0.4	1

* Relationship is significant at the 0.05 level.

** Relationship is significant at the 0.01 level.
For all other cases, the null hypothesis cannot be rejected at these levels of confidence.

a/ N=total number of cases, p_0 =proportion of districts that applied in FY 77 = assumed probability of a random district in group receiving a score in the fundable range.

b/ Expected number = number of districts in subgroups times p_0 .

See Appendix B for sources and definitions.

FIGURE A.14

Variations in FY 77 Grant Amounts That Can be
Explained by Differences in Grant Amounts to
Recipients with Different Characteristics

District Characteristics	Proportion of Variation in Grant Size Explained	
	Basic	Pilot
<u>Desegregation Related Characteristics</u>		
Plan Type.....	-- ^{a/}	--
Racial Isolation Index Level.....	--	--
Change in Racial Isolation Index.....	--	--
Index of Number of Minority Children Affected by the Plan.....	.44**	--
Index of Percent of Minority Children Affected by the Plan.....	--	--
Recency of Plan.....	.30*	--
<u>Other Demographic Characteristics</u>		
Minority Enrollment.....	--	--
Percent Minority Enrollment.....	--	.90**
Percent Economically Disadvantaged.....	--	.86**
Percent Educationally Disadvantaged.....	--	--
Metro Status.....	--	--
State.....	--	--
<u>ESAA Program Experience</u>		
Number of Years Applied.....	--	--
Number of Years Funded.....	--	--

Notes: For Basic grants, N = 26; for Pilot grants, N = 7.
See Appendix B for sources and definitions.

^{a/} Not found to be statistically significant at the .05
or less level using an F-test.

* Significant at 0.05 level.

** Significant at 0.01 level.

FIGURE A.15

Desegregation-Related Characteristics of Districts That Applied for
and Did Not Receive a Basic Grant in DHEW Region II, FY77

District ^{a/}	Plan Type	Year of implementation	Pupil Racial Isolation Index, Fall 1975	Index of Effective Reduction of Minority Isolation, FY77		Total score, FY77
				Number	Percent	
Median ^{b/}	--	1970	15.0	27.0	0.0	34.66
B # 27	Nonrequired	1959	14.8	0.0	0.0	60.66
B # 28	Nonrequired	1959	48.4	0.0	0.0	56.16
B # 29	Nonrequired	1976	2.5	54.0	0.3	53.33
B # 30	Nonrequired	1975	18.3	0.0	0.0	48.33
B # 31	Nonrequired	1965	1.7	361.0	27.5	47.33
B # 32	Required	1974	39.8	464.0	51.7	41.33
B # 33	Nonrequired	1969	15.8	0.0	0.0	54.66
B # 34	Nonrequired	1959	15.2	0.0	0.0	34.66
B # 35	Nonrequired	1959	19.8	0.0	0.0	32.33
B # 36	Nonrequired	1976	10.4	305.0	19.4	31.00
B # 37	Nonrequired	1959	4.0	319.0	0.0	31.00
B # 38	Nonrequired	1971	5.7	75.0	0.0	29.66
B # 39	Nonrequired	1973	27.3	0.0	1.0	26.00
B # 40	Nonrequired	1971	0.8	76.0	0.0	14.66

a/ Districts are listed in descending order by last total score received in FY77 Basic competition. Districts that received a total score in the fundable range were not funded because the quality score they received was not in the fundable range or because they were found by OCR to be ineligible for ESAA funding.

b/ In a distribution of variables which are of interval type with an odd number of cases, the median is the middle score; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

Continued--

FIGURE A.15 (Cont.)

Desegregation-Related Characteristics of Districts That Applied for and Did Not Receive a Pilot Grant in DHEW Region II, FY77

District ^{a/}	Plan Type	Year of Implementation	Pupil Racial Isolation Index, Fall 1975	Index of Effective Reduction of Minority Isolation, FY77		Total Score, FY77
				Number	Percent	
Median ^{b/}	--	1959	15.8	0	0	51.40
P # 8.....	Nonrequired	1959	26.9	0	0	74.66
P # 9.....	Nonrequired	1973	27.3	0	0	70.66
P # 10.....	Nonrequired	1959	51.3	0	0	68.33
P # 11.....	Nonrequired	1976	2.5	54.0	0.3	59.00
P # 12.....	Nonrequired	1959	48.4	0	0	51.40
P # 13.....	Nonrequired	1959	14.8	0	0	51.40
P # 14.....	Nonrequired	1969	15.8	0	0	47.00
P # 15.....	Nonrequired	1959	7.5	0	0	46.33
P # 16.....	Nonrequired	1959	15.2	0	0	41.00

a/ Districts that received a total score in the fundable range were not funded because the quality score they received was not in the fundable range or they were found by OCR to be ineligible for ESAA funding or due to insufficient funds.

b/ In a distribution of variables which are of interval type with an odd number of cases, the median is the middle score; for an even number of cases, the midpoint is the interpolated score so that an even number of cases are above and below it.

APPENDIX B
SOURCES AND DEFINITIONS

APPENDIX B

I. Sources

1. 1968-1972: Office for Civil Rights Elementary and Secondary School Survey (District and School Files), DHEW, Office for Civil Rights.
2. 1973-74: Equal Employment Opportunity Commission Elementary and Secondary School Survey (District and School Files).

For complete data base documentation for OCR (1968-1972) and EEOC (1973-1974) refer to:

School Desegregation Data Base
Documentation 1968-1974

March 1977
Department of Health, Education, and Welfare
Office of the Assistant Secretary for Planning
and Evaluation
Education Division
200 Independence Avenue, S.W., Room 408 F

3. New Jersey Tape:

Enrollment data 1973-74 and Racial/Ethnic
data 1975-76 from:

New Jersey Educational Computer Network, Inc.
Administrative Data Processing
P.O. Box 390
New Brunswick, N.J.

4. New York Tape:

Basic Education Data System School data: Fall
1973, 1975 from:

Information Center on Education
Bureau of Educational Data System
The University of the State of New York
State Education Department
Albany, New York

5. The New York Pupil Evaluation Program
The University of the State of New York
State Education Department
Bureau of Pupil Testing and Advisory Services

6. ESEA Title I Poverty and Education Data,
1974-75, May 1974 Appendix 9

7. CEMREL, Inc.
A National Educational Laboratory
ML-Group for Policy Studies in Education
Chicago, Illinois

CEMREL merged data from:

- a. ELSEGIS 1975-76 Local Public School System
Universe File (From NCES);
- b. Special Tabulation NIE School District 1970
Census Poverty measures file;
- c. District-level Title I 1975-76 fund allocation
data collected by CEMREL, Inc. (gathered directly
from States' Title I Coordinator offices).

8. ESAA Program Data

- a. ESAA Grant Proposals submitted to the Office of
Education, FY 1976 and 1977
- b. Office of Education Forms #139, "ESAA Application
Rating/Staff Technical Review Summary and
Recommendation," FY 1973-77
- c. Office of Education Forms #241-4, "Educational
Quality Rating Panel Review Summary," FY 1976-77
- d. Office of Education Basic and Pilot Grant
Decision Memos, Spring and Summer 1977
- e. Office for Civil Rights, Letters of Findings of
Title VI Ineligibility, FY 1976
- f. Title I Target Comparability Reports, Fall 1976

Sources and Definitions by Data Item

Data Item	Source	Definitions
1. Enrollment 1968-72 NJ and NY	OCR Survey	"Minority" is defined to include Indian, Black, Asian, and Spanish-speaking.
2. Enrollment 1973-75 NJ	NJ Tape	In 1973, "minority" is defined to include Negro, Puerto Rican, Cuban, other Spanish-speaking, American Indian, and Oriental pupils. In 1975, "minority" is defined to include American Indian, Oriental, Black, and Spanish-American pupils.
NY	NY Tape	In 1973 and 1975, "minority" is defined to include American Indian, Negro, Oriental, Spanish-American, and other minority pupils.
3. Enrollment 1976-77 NJ and NY	ESAA Grant Proposals	"Minority" is defined to include American Indian, Negro, Oriental, Spanish-surnamed, Portuguese, Alaskan Native, Hawaiian Native, and other minority pupils.
4. Staff Data 1974 NJ and NY	EFOC 1974	"Staff" is defined to include elementary, secondary, and other classroom teachers.
5. Staff Data 1976-77 NJ and NY	ESAA Grant Proposals	"Staff" is defined to include principals, full-time classroom teachers, and head coaches.

6. Economically
Disadvantaged Data
NJ and NY

ESEA Title I
Poverty and
Education Data
CEMREL Tape

The percent of economically disadvantaged pupils in NJ and NY (excluding the Community School Districts in NYC) is the percent of children aged 5-17 in families with income below the Orshansky poverty level computed from a 1973-1974 retabulation of 1970 Census Data by school districts. The number of economically disadvantaged children in the Community School Districts was computed by the following equation:

$$\frac{.7 \text{ AFDC} + .3 \text{ Free Lunch}}{\text{School Register 1974-75}}$$

Quartile ranks for economically disadvantaged pupils were calculated for all enrollments greater than 50 percent:

Low: The First Quartile - less than or equal to 5 percent;
Medium: The Second and Third Quartiles - 6 to 16 percent;
High: The Fourth Quartile - greater than or equal to 17 percent.

7. Educationally
Disadvantaged Data
NJ Data

NJ State
Educational
Assessment
Program

The percent of educationally disadvantaged pupils in NJ is the percent of fourth graders in each school district scoring below minimum competency on the NJ criterion reference test in 1975. Quartile

ranks were calculated by state for all districts with minority enrollments greater than 300 or 50 percent.

NJ Quartiles for educationally disadvantaged:

Low: First Quartile - less than or equal to 5 percent;

Medium: Second and Third Quartiles - 6 to 24 percent;

High: Fourth Quartile - greater than or equal to 25 percent.

NY Pupil

NY Pupil
Evaluation
Program Test

The percent of educationally disadvantaged pupils in NY is the percent of third graders in each school district scoring below minimum competency on the Pupil Evaluation Program Test in 1975.

NY Quartile Ranks for educationally disadvantaged:

Low: First Quartile - less than or equal to 15 percent;

Medium: Second and Third Quartiles - 16 to 29 percent;

High: Fourth Quartile - greater than or equal to 30 percent.

8. Metropolitan
Status

CEMREL Tape

School districts were assigned an urban status based upon the 1973-74 special tabulation of 1970 Census poverty measures by school districts which was compiled by the U.S. Bureau of the Census for NIE:

Urban is defined to include central cities within SMSA's and urban areas not within SMSA's;

Suburban is defined as other areas within SMSA's not classified as central cities;

Rural is defined as other areas not within SMSA's not classified as urban areas.

II. Computed Variables

1. Racial Isolation Index NJ and NY 68, 72 NY 73, 75

The racial isolation index mathematically takes the form:

$$R = [1 - (\sum n_m p_w / N_m P_w)] * 100$$

where n_m , N_m are the number of minority pupils in a school and the LEA, respectively, and p_w , P_w are the proportion of the total pupils in the school and LEA, respectively, that are white, or non-minority according to the definitions of the DHEW Office for Civil Rights.

Conceptually, it can be understood in the following way: In each school there are n_m minority pupils and n_w white pupils. Each minority student may theoretically interact with n_w white students. The probability of a minority student interacting with a white student within the school is equivalent therefore to the proportion of the school that is white, $p_w = n_w / n_t$, where n_t is the total number of pupils in the school. Since n_m is the number of minority children in the school, the quantity $n_m p_w$ is the probable number of minority-pupil/white-pupil interactions that may occur in the school. If this quantity is summed for all schools, the district-wide number of probable interactions between minority and white pupils, given the racial makeup of each school, is obtained.

In order to determine the extent to which the assignment of pupils to schools contributes to racial isolation, the sum can be compared to the number of minority-pupil/white-pupil interactions, $N_m P_w$, that might occur if the entire LEA was considered one school.

In a completely segregated school system, the quantities $n_m p_w$ are zero for all schools, since each school that has minority pupils (n_m is non-zero) has no white pupils (p_w equals zero), and each school with white pupils (p_w , non-zero) has no minority pupils (n_m is zero). As a result, the sum for all schools of $n_m p_w$ is zero and the ratio with $N_m P_w$ is also zero. In order to associate ascending values for the index with increasing racial isolation, the ratio is subtracted from one. The racial isolation index for a completely dual school system would then be one hundred.

In a school district in which the proportion of white students, P_w , in each school equals the district-wide proportion, P_w , the index becomes:

$$\begin{aligned} R &= [1 - (P_w \sum n_m / N_m P_w)] * 100 \\ &= [1 - (P_w N_m / N_m P_w)] * 100 \\ &= [1 - 1] * 100 = 0 \end{aligned}$$

It should be noted that the index is completely symmetrical with respect to racial/ethnic identity for a biracial situation, since the quantity $n_m P_w$ is equivalent to $n_m n_w / n_t$ and could just as easily been written then as $n_w P_m$. This leads to the interpretation of R as also the racial isolation index of the white pupils.

An index of change in racial isolation was calculated by subtracting the racial isolation index for 1968 from that for 1975 and categorizing the resulting variable. The table below shows the distribution of the change variable.

<u>Value Range</u>	<u>Frequency</u>	<u>Percent</u>
-61.10 thru -10.00	26	13.8
-10.00 thru < -5.00	26	13.8
-5.00 thru 0	72	38.1
>0 thru +5.00	49	25.9
+5.00 thru 27.13	<u>16</u>	<u>8.5</u>
Total	189	100.0
Missing	19	

2. Indices of Net Reduction of Minority Isolation

Two quantities are employed in the 'stat' score to measure the reduction in the degree of minority isolation in a school district as a result of the implementation of its plan. These are: 1) the effective net reduction in the number of minority children in minority isolated schools, and 2) the effective net reduction in the percent of the district's minority children in minority isolated schools. It is important to note that in the calculation of these quantities for a school district, only the counts of children in schools affected by the district's plan are included.

These two measures are most easily understood through a description of the steps in their calculation. Both begin with a tabulation of the number of minority students in each of the district's schools affected by the plan and the minority proportion of each school's enrollment. This tabulation is performed for the base year and the project year, the end points of the period over which the reduction is to be calculated. The base year is defined as the year prior to the implementation of the plan.

The next steps calculate quantities for the base year and the project year that are measures of the number of minority pupils that are not isolated to varying degrees. (A minority pupil is isolated if he/she attends a school with an enrollment over 50 percent minority. Minority students in 55 percent minority schools are considered less isolated than those in 90 percent minority schools.) To illustrate the conceptual development of these quantities, we define several quantities:

N(over 50%, base) = number of minority students in schools affected by the plan that are over 50 percent minority in base year;

N(over 50%, project) = number of minority students in schools affected by the plan that are over 50 percent minority in project year;

and, similarly, N(less 50%, base) and N(less 50%, project) for the number of minority students in schools less than or equal to 50 percent minority in the base and project years, respectively. In addition:

N(schools, base),
 N(schools, project) = total number of minority
 students in schools affected
 by plan in base and project
 years;

N(district, base),
 N(district, project) = total number of minority
 students in district in base
 and project years.

It follows that:

N(schools, base) = N(over 50%, base) + N(less 50%, base);

N(schools, project) = N(over 50%, project) + N(less 50%,
 project).

One simple measure of the net reduction in the number of
 minority students in minority isolated schools would be:

Reduction (number) = N(over 50%, base) - N(over 50%,
 project);
 = N(less 50%, project) - N(less 50%,
 base).

This assumes the total number of minority students remains
 the same in the base year and project year. Similarly,
 the net reduction in the percent of minority students
 in minority isolated schools would be:

$$\begin{aligned} \text{Reduction (percent)} &= 100 \times \left[\frac{N(\text{over } 50\%, \text{ base})}{N(\text{district, base})} - \frac{N(\text{over } 50\%, \text{ project})}{N(\text{district, project})} \right] \\ &= 100 \times \left[\frac{N(\text{less } 50\%, \text{ project})}{N(\text{district, project})} - \frac{N(\text{less } 50\%, \text{ base})}{N(\text{district, base})} \right] \end{aligned}$$

These two measures, however, have two failings. First,
 they do not measure the reduction in the degree of isolation.
 According to these measures, there has been no reduction
 in isolation for minority students that were attending
 90 percent minority schools in the base year and 55 percent
 minority schools in the project year. Second, they do not
 account for total enrollment changes in the schools and
 the district from the base year to the project year.

In order to take into account the reduction in the degree
 of minority isolation, the sharp division between the
 count of minority children in less than 50 percent and

over 50 percent minority schools, is softened by dividing the over 50 percent group into ten successive groups with increasing minority proportions: N(50-55%), N(55-60%), N(60-65%)... N(95-100%). Each group is then multiplied by a weighting factor which reflects the degree that minority students are not isolated as shown here:

<u>Group</u>	<u>Weight</u>	<u>Group</u>	<u>Weight</u>
N(95-100)	0.0	N(65-70)	0.6
N(90-95)	0.1	N(60-65)	0.7
N(85-90)	0.2	N(55-60)	0.8
N(80-85)	0.3	N(50-55)	0.9
N(75-80)	0.4	N(0-50)	1.0
N(70-75)	0.5		

The count of minority students in schools affected by the plan that are under 50 percent minority receives a weighting of 1.0 because the students are not considered isolated.

The number of minority students that are not isolated to varying degrees can now be defined as the sum of the number of minority students in schools affected by the plan that have different proportions of minority students multiplied by the appropriate weighting factor.

$$N(\text{not isolated}) = 1.0 \times N(0-55\%) + 0.9 \times N(55-60\%) + 0.8 \times N(60-65\%) + \dots + 0.1 \times N(85-90\%) + 0.0 \times N(95-100\%)$$

This quantity is calculated for the base year and the project year in order to calculate the reduction in minority isolation.

$$R(\text{number}) = N(\text{not isolated, project year}) - N(\text{not isolated, base year})$$

A high value for this quantity compared to the number of minority students in these schools indicates that most minority students are not isolated. A low value indicates most minority students are highly isolated in schools over 90 percent minority.

$$R(\text{percent}) = \frac{N(\text{not isolated, project year})}{N(\text{district, project year})} - \frac{N(\text{not isolated, base year})}{N(\text{district, base year})}$$

It may be noted that the form of these quantities, specified by ESAA program guidelines, is more consistent with their description as the net increase in the number and percent of minority students that are not isolated. Algebraically, however, they do not differ from a formulation which would be consistent with their description as the

net reduction in the number and percent of minority children that are isolated to varying degrees.

The second failing of the measures as described is accounted for by adjusting the reduction in the number of minority-isolated students by the changes in total enrollment. (The effects of changes in total enrollment in R(percent) are already included by the different denominators in the two terms.) Two alternative adjustments are made depending on whether the total number of minority students has increased or decreased. If minority enrollment has increased from the base year to the project year in schools affected by the plan, the number of minority students not isolated to varying degrees is reduced in the project year by the ratio of the base year to project year enrollment in the schools. The reduction measure then becomes:

$$R(\text{number}) = \left[\frac{N(\text{schools, base year}) N(\text{not isolated, project year})}{N(\text{schools, project year})} \right] - N(\text{not isolated, base year})$$

If minority enrollment has decreased, the number of minority students not isolated to varying degrees is reduced in the base year by the ratio of the project year to base year enrollment in the schools. Thus:

$$R(\text{number}) = N(\text{not isolated, project year}) - \left[\frac{N(\text{schools, project year}) N(\text{not isolated, base year})}{N(\text{schools, base year})} \right]$$

These alternative quantities define the effective net reduction in the number of minority isolated students in schools affected by the plan.

3. Spearman's r_s

Spearman's rank order correlation coefficient (r_s) is the correlation between ranks of the scores across school districts. It is the appropriate measure of association here since it is unrealistic to assume that the scores will have normal distributions, but they do meet the requirements of ordinal level of measurement. It is calculated as:

$$r_s = \frac{T_x + T_y - \sum d_i^2}{2 \sqrt{T_x T_y}}$$

where d_i is the difference between the ranks of the two scores for the i th school district, and where T_x and T_y are the sums of squared deviations from the mean of the ranks for the two scores, X and Y , respectively. With a correction for tied scores, these are calculated as:

$$T_x = \frac{(N^3 - N) - \sum (t_x^3 - t_x)}{12} ;$$

$$T_y = \frac{(N^3 - N) - \sum (t_y^3 - t_y)}{12} ;$$

where t_x and t_y are the number of scores tied at any given rank for X and Y . When there are no tied scores, the formula simplifies to:

$$r_s = 1 - \frac{6 \sum d_i^2}{N^3 - N}$$

Spearman's r_s varies from a maximum of +1.0 when the rankings on the two scores are identical to a minimum of -1.0 in the case of perfect negative association. When the two scores are completely independent, it has the value of 0. It is not necessary to test the significance of r_s here, since we are dealing with the entire universe of appropriate districts rather than with just a sample of them.

4. Panel Review Score and Component; Index of Variation Among Panelists

The quality score components assigned to each project by the panelists were added and divided by the number of panelists to give an average score for each component for that project. The final quality score is also such an average. The appropriate measure of central tendency for these variables is the median: for any component of the quality score or for the total quality score, as many of the districts who applied in a particular cycle received an average score larger than the median as received a smaller score.

An index of the variation among panelists was obtained by subtracting the lowest score assigned to the project by any of the panelists from the highest score. This was done for each component of the quality score and for the total of all components. Each index can vary from a minimum of 0 to a

maximum of the total number of points possible for the relevant component or total score. Thus, the closer an index is to zero, the greater the amount of agreement among the panelists for that component.

The appropriate measure of central tendency for these indices is the median: For any component of the quality score or for the total quality score, half the districts who applied in a particular cycle received scores with a range greater than the median (more disagreement among panelists) and half received scores with a smaller range (less disagreement).

III. Statistical Analysis Methodology

1. Analysis of Response to ESAA Processes by District Characteristics

The objective of this analysis was to determine whether the school districts in Region II, differentiated by desegregation or demographic characteristics, differ from one another in their responses to each of three ESAA processes: (1) applying for a grant; (2) receiving an application score in the fundable range; and (3) receiving a grant award. Each of these processes has only two outcomes: either the district applies or does not apply, scores or does not score in the fundable range, or is funded or is not funded. In order to refer conveniently to each process in the following discussion, the former outcome in each process was referred to as a success and the latter as a failure.

To detect statistically significant differences between subgroups, the procedure of initially assuming that the probability of a district in one subgroup being successful is no different from that of a district in any other subgroup was employed. This is called the null hypothesis. The analysis determines whether this hypothesis can be rejected at a high level of certainty on the basis of a comparison between the actual number (or frequency) of successes in a subgroup and the number expected according to the null hypothesis. An appropriate statistical test is used to specify the level of certainty or confidence with which the hypothesis can be rejected and to determine whether the actual frequency of success is much greater (less) than the frequency expected according to the hypothesis. A rejection of the null hypothesis implies that there is a relationship between the outcome and the subgroup characteristic. It does not follow, however that non-rejection implies the lack of a relationship; it may also imply that the available data do not permit detection of a relationship at an acceptable level of confidence.

The procedure and formulation is illustrated in the following example. Consider the subgroups of districts which are differentiated by the type of desegregation plan implemented, i.e., required or non-required. For the process of applying for a grant, the null hypothesis would be that required and non-required districts apply with the same probability. This implies that the probability of a required or non-required district applying is the same as that of any district chosen randomly from the total group. For processes in which there are only two outcomes (i.e., binary), the best

estimate of this probability, labelled p_0 , is the fraction of actual successes in the total group. In this case, 40 districts out of the total 208 applied for a grant. Therefore, the probability $p_0 = 40/208 = 0.192$.

On the basis of this probability, the number of required districts expected to apply (E_R) would be the total number of required districts (N_R) times the probability, p_0 ; that is,

$$E_R = N_R p_0 = 9(0.192) \approx 2$$

Similarly, since there were 199 non-required districts in the Region II group, the expected number of non-required districts (E_{NR}) would be

$$E_{NR} = N_{NR} p_0 = 199(0.192) \approx 38$$

Of the 40 districts applying it was found that the actual number of required districts applying (A_R) was 7, and the actual number of non-required districts applying (A_{NR}) was 33. In order to determine whether we can reject the null hypothesis, we must ask whether the differences between the actual and expected frequencies, i.e.,

$$A_R - E_R = 7 - 2 = 5$$

and

$$A_{NR} - E_{NR} = 33 - 38 = -5$$

could be attributed to chance -- random fluctuations in the number of required vs. non-required applicants from year to year.

To test whether the differences between the expected and actual frequencies are "large" enough to reject the hypothesis or too "small" to not permit its rejection, we employ a two-tailed t-test.¹ The statistic

$$t_i = (A_i - E_i) / E_i (1 - p_0)$$

is calculated for each subgroup i and compared with the values tabulated for a process that was random.² If the calculated values exceed the tabulated values at some level of confidence, the observed differences cannot be attributed to chance. We could then reject the null hypothesis and accept the alternative that, for this example, a required (non-required) district differs from the total population in its propensity to apply for a grant.

For all analyses, the ability to reject the null hypothesis will be examined at the 0.01 and 0.05 levels. The sensitivity of the results is assessed by determining whether the rejection (non-rejection) of the null hypothesis is affected by one less (more) district in a subgroup being a success.

2. Analysis of Grant Funds by District Characteristics

The objective of this analysis is to determine whether the grant funds awarded FY 77 ESAA grant recipients in Region II can be differentiated by specific desegregation or demographic characteristics of the school districts. For example, to what extent can the variation in funds awarded recipients be explained by the differences in funds awarded districts with different types of desegregation plans?

In situations in which the dependent variable is interval-level (dollars) and the independent variable is only nominal-level (e.g., required vs. non-required plan), an appropriate statistical procedure for assessing the degree of association is analysis of variance. Analysis of variance provides measures of the extent to which the differences in the dependent variable (dollars) can be explained by the differences between subgroups. Whether the differences in the dependent variable between subgroups can be considered substantial or trivial depends to a large extent on the variability of the dependent variable within each subgroup. A statistic describing the strength of differences in the dependent variable between subgroups compared to the variability within subgroups is the statistic eta squared. In situations in which there is no variation in the dependent variable (e.g., dollars) within subgroups, and only differences between groups, $\eta^2 = 1$. The index would be zero only if there is no difference in the dependent variable means between subgroups.

In small samples the distribution of dependent variable values and their means is not accurately determined. The observed differences in means between subgroups may therefore be due solely to chance -- random fluctuations arising from the use of a small sample. In order to test whether the differences are statistically significant we follow the procedure of assuming, as in the previous analysis, using the null hypothesis, that there are no differences between subgroups, i.e., $\eta^2 = 0$. An F-test is then used to determine with a specified level of confidence whether we can reject the hypothesis that $\eta^2 = 0$. A rejection implies that η^2 percent of the variation in grant funds can be

explained by the differences in funds awarded the different subgroups. A non-rejection does not necessarily imply that grant funds are not differentiated by other subgroup characteristics; it only implies that the data do not permit detection of a relationship.

FOOTNOTES

1. The t-statistic can be equivalently written in terms of the actual proportion of total districts that are required districts and the observed proportion of successes that are required districts. If the process were random with respect to the subgroups, the expected proportion of successes for a subgroup would be merely their proportion in the population.
2. Another way to view this application of the t-statistic is to consider the denominator as the standard error of the distribution.